



# MOVING FORWARD

## A REVIEW OF NORTH-WEST UNIVERSITY'S FIRST TEN YEARS

Prof. dr Frans van Vught (chair)  
Dr Nico Cloete  
Prof. dr Lynn Meek  
Prof. Barney Pityana  
Mr Torben Kornbech Rasmussen  
Prof. Mala Singh  
Prof. Ian Bunting (secretariat)

March 2014

Report of the review panel submitted to North-West University in April 2014

Enquiries: Prof. Ian Bunting, The Secretariat of the North-West University 10-Year Review Panel

Proofreading and lay-out by COMPRESS.dsl

# CONTENTS

<b>INTRODUCTION</b>	<b>6</b>
<b>PART I: MERGER OBJECTIVES</b>	<b>8</b>
<b>1 Merger objective 1: Overcoming the apartheid-induced divide between a historically white and historically black institution</b>	<b>8</b>
1.1 Institutional profile report	8
1.2 Data	8
1.3 Interviews	10
1.4 Conclusions	12
<b>2 Merger objective 2: Promoting a more equitable staff and student body</b>	<b>13</b>
2.1 Institutional profile report	13
2.2 Data	13
2.3 Interviews	15
2.4 Conclusions	16
<b>3 Merger objective 3: Enabling the development and provision of a wider and comprehensive range of vocational, in particular, technikon-type, professional and general programmes in line with regional and national needs</b>	<b>16</b>
3.1 Institutional profile report	16
3.2 Data	17
3.3 Interviews	17
3.4 Conclusions	17
<b>4 Merger objective 4: Building administrative, management, governance and academic capacity</b>	<b>17</b>
4.1 Institutional profile report	17
4.2 Data	17
4.3 Interviews	18
4.4 Conclusions	20
<b>5 Merger objective 5: Consolidating the deployment and use of academic personnel</b>	<b>20</b>
5.1 Institutional profile report	20
5.2 Data	20
5.3 Interviews	20
5.4 Conclusions	21
<b>6 Merger objective 6: Building research capacity</b>	<b>21</b>
6.1 Institutional profile report	21
6.2 Data	21
6.2 Interviews	22
6.3 Conclusion	22
<b>7 Merger objective 7: Enhancing sustainability through increased size</b>	<b>22</b>
7.1 Institutional profile report	22
7.2 Data	22
7.2 Interviews	23
7.3 Conclusions	23

<b>PART II: MISSION ELEMENTS</b>	<b>24</b>
<b>8 Mission element 1: Transformation</b>	<b>25</b>
8.1 Institutional profile report	25
8.2 Data	25
8.3 Interviews	27
8.4 Conclusions	27
<b>9 Mission element 2: Teaching-learning</b>	<b>29</b>
9.1 Institutional profile report	29
9.2 Data on programme alignment	29
9.3 Interviews on programme alignment	32
9.4 Conclusions on programme alignment	32
9.5 Data on monitoring and measuring academic performance	32
9.6 Interviews on monitoring and measuring academic performance	35
9.7 Conclusions on monitoring and measuring academic performance	35
9.8 Conclusions on mission element teaching-learning	36
<b>10 Mission element 3: Research</b>	<b>36</b>
10.1 Institutional profile report	36
10.2 Data	37
10.3 Interviews	42
10.4 Conclusions	42
<b>11 Mission element 4: Implementation of expertise</b>	<b>43</b>
11.1 Institutional profile report	43
11.2 Data	43
11.3 Interviews	44
11.4 Conclusions	44
<b>12 Mission element 5: Effective governance and management, and positioning</b>	<b>45</b>
12.1 Institutional profile report	45
12.2 Data on finances	45
12.3 Interviews on finances	45
12.4 Conclusion on finances	46
12.5 NWU's governance and management model	46
12.6 Data on governance and management model	47
12.7 Interviews on the governance and management model	47
12.8 Conclusions on the management model	47
<b>PART III: SUMMARY AND RECOMMENDATIONS</b>	<b>49</b>
<b>13 Summary</b>	<b>49</b>
<b>14 Commendations</b>	<b>52</b>
<b>15 Recommendations</b>	<b>52</b>
15.1 Transformation	52
15.2 Teaching and learning	53
15.3 Research	54
15.4 Governance	54

<b>APPENDIX 1: Data tables</b>	<b>55</b>
PART I: Merger objectives	56
PART II: Mission elements	67
<b>APPENDIX 2: Programme and interviews at NWU</b>	<b>76</b>
<b>APPENDIX 3: Media statement on initiation at NWU by the Department of Higher Education and Training</b>	<b>80</b>
<b>APPENDIX 4: Press release by NWU on team to conduct investigation of introduction of first-year students</b>	<b>85</b>
<b>APPENDIX 5: Panel team members</b>	<b>89</b>

## Introduction

This report contains the results of the review process of the performance of North-West University (NWU) during its first ten years. The review was commissioned by NWU itself, and consisted of an internal self-study and an external international review. This report reflects the views of the external review panel, and is independently drafted by this panel on the basis of information from the self-study, interviews during a review visit and additional data analysis.

The international review panel has interpreted its task as consisting of the following elements:

- an assessment of the extent to which the initial merger objectives as stipulated by the government in 2002 have been accomplished;
- an assessment of the extent to which the university has made progress in pursuing the various elements of its mission.

To enable it to address its task, the review panel has been offered a wealth of information by the university. The university produced a comprehensive self-study, titled 'NWU Institutional Profile' (December 2013) as well as a large set of background documents. In addition, the panel was able to conduct a large number of interviews and speak to more than 130 persons (both internal and external to the university) during its visits to the three campuses of the university. The panel also gathered and analyzed additional data, both from national and international sources, especially pertaining to research performance, staffing and merger experience.

The review panel wants to thank the university for the confidence expressed in its expertise and way of working. The panel has been impressed by the open and pleasant way the university has addressed this review. We felt most welcome in all the sessions that took place, and encountered no hesitation in exploring and discussing the various issues related to the review.

The panel also thanks the staff members of NWU who provided warm and professional assistance to the panel's work during the visits and interviews. In particular we thank:

- Ms René Vermeulen, Stakeholder Relations Officer, Institutional Advancement;
- Ms Therina du Pisani, Institutional Advancement, Development and Alumni Relations Officer;
- Ms Judy Heymans, Secretary: Office of the Vice-Chancellor;
- Mr Frans du Preez, Director: Office of the Vice-Chancellor.

This report follows the same structure as the 'NWU Institutional Profile' report. In Part 1 it addresses the seven merger objectives and analyses the performance of NWU with regard to each objective. In Part 2 it discusses the five mission elements and explores the ways in which the university is pursuing them. In both Part 1 and Part 2, the report first makes a short inventory of the statements and claims the university itself formulates regarding its achievements and progress with respect to the separate objectives and elements; it then presents and analyzes the various data that are assumed to be relevant with respect to these objectives and elements; thirdly, it reports on the outcomes of the interviews the panel conducted during the review visits; and finally it formulates the conclusions per objective and element. Part 3 of this report offers a summary of the findings from Parts 1 and 2, and provides a set of recommendations to the university based on the analyses by the review panel.

# Part I

## Merger objectives

### 1 **Merger objective 1:** Overcoming the apartheid-induced divide between a historically white and historically black institution

#### 1.1 **Institutional profile report**

The report addresses the issues related to the first merger objective at various places in the text. It discusses these issues broadly and claims that ‘the racial divide has been bridged’, and that ‘there are no qualitative or perceptual differences (based on their racial history or present demographic status) between the campuses’ (p.16). More specifically, the report states that:

- 1a In terms of organizational unity and the management model, the racial divide has been bridged (p.16).
- 1b There has been substantial progress in addressing the inequalities of the past, especially with regard to resource allocation, quality, outputs and infrastructure (p.16).
- 1c The most visible feature of overcoming the racial divide is the acceptance and ownership of a new vibrant brand by all stakeholders (p.16).

#### 1.2 **Data**

There are no quantitative data which can be used to assess the claims in 1a and 1c above, or the quality claim in 1b. Data are available to assess the claims in 1b about resource allocations, outputs and infrastructure, in particular regarding the differences between the three campuses.

Tables 1 and 2 in Appendix 1 compare the numbers of academic staff between the three campuses. There have been major differences between the campuses in the number of the positions for permanent professor and associate professor, who would be expected to be the research and academic leaders on a campus. Potchefstroom in 2012 had 265 professors and associate professors



(32% of its permanent academic total), compared to a total of 57 at Mafikeng (22% of its permanent academics), and 23 (20% of total) at Vaal Triangle. Academic staff with doctoral qualifications would also be expected to play substantial roles in the teaching and research activities on a campus. Data in Table 3 in Appendix 1 show that Potchefstroom's proportion of permanent academics with doctorates remained at a level of 54% over the period 2008–2012, while Mafikeng's proportion rose sharply from 24% in 2008 to 43% in 2012. Vaal Triangle's proportion of academic staff with doctorates was 42% in 2008 and 44% in 2010.

The review panel has used the ratios of full-time equivalent (FTE) enrolled students to FTE academics as indicators of changes in resource allocations in teaching. These ratios are seen by the panel as proxies for teaching resources assigned to academic programmes. Table 4 in Appendix 1 shows that Potchefstroom's ratios in science and technology programmes and in business, economics and management programmes improved in 2012 compared to 2008. The ratios for Mafikeng remained lower than those of Potchefstroom throughout this period.

Table 5 in Appendix 1 sets out the amounts spent on new and refurbished buildings and equipment over the five-year period 2008–2012. Of the total of R845 million, 75% came from the Department of Higher Education and Training (DHET) and 25% from NWU's own funds. The table shows that the final distributions match the proportion of contact student totals for each campus. The institutional profile report justifies Potchefstroom's R498 million over the five-year period, compared to Mafikeng's R204 million and Vaal Triangle's R143 million, by calculating allocations per student per campus. Because these allocations per campus match their campus proportions of the total headcount enrolment, it is not surprising that these unit costs per student are very similar. It can thus be deduced that Mafikeng has not received higher levels of redress funding designed to help it move away from its apartheid past. However, it would appear that the formula used by the university acted like a 'blunt instrument' and was not sufficiently creative to facilitate an effective balance between an allocation process based on student numbers/outputs etc., and an approach designed to bridge the historical divide.

Tables 6 and 7 summarize the high-level research publications of the three campuses. Table 6 shows that Mafikeng had the highest research journal article growth. Its research journal total grew from 26 in 2008 to 172 in 2012 (a very high growth of 600%, which does require some explanation from NWU). Potchefstroom's research journal total grew by 33%, from 405 in 2008 to 540 in 2012. Vaal grew by 44% from 40 to 77. By the end of the five-year period, Mafikeng's output efficiency ratios exceeded those of the other two campuses. In 2012, Mafikeng produced 1.55 research articles per permanent academic with a doctorate and 0.67 articles per total permanent academic. The comparable ratios for

Potchefstroom were 1.22 and 0.66, and for Vaal Triangle they were 1.04 and 0.45. The international standing and the impact of these research outputs will be addressed later in this report.

### 1.3 Interviews

The panel was able to address the issues related to the first merger objective with many actors and stakeholders during the interviews. One of the general issues explored during the interviews was the question of whether there is a general acceptance of an NWU identity and a 'vibrant NWU brand'. The panel found out that the campuses largely appear to cultivate their own cultures and brands, so far without significant effort to bridge old divides. Campuses have their own sports teams and their own alumni offices. Moreover, in the case of Potchefstroom the alumni office webpage ties the campus back to its apartheid history, entrenching the historical character of the Potchefstroom campus, rather than an overall NWU brand. Some external stakeholders told the panel that the key feature of the NWU brand was 'stability', or perhaps 'stability and quality'. It was not, however, clear how this could function as a link that unifies the three campuses.

The panel found, during its interviews, support for the view that organizational unity had been achieved through the successful implementation of NWU's overall unitary, non-federal management model. It did, however, at the same time note various opinions that the time may be ripe to pursue a more integrative approach to overall governance and management. Some of the specific opinions expressed at campus-level meetings were these:

- The Institutional Office gives the impression of being a level of management disconnected from campus-based structures.
- The combination of an Institutional Office with large campus autonomy appears to have left key strategic and policy matters, such as transformation and employment equity, without a champion.
- The governance model appears to be used pragmatically by the Institutional Office. Functions are centralized (e.g. finance and information technology) when it suits the Institutional Office, but are otherwise left to campuses (e.g. teaching-learning and academic quality). This may have been a consequence of the main initial aim being that of stabilising the new, merged institution.

The panel examined, during the interviews, other views on 'bridging the apartheid-induced divide'. Some interviewees told the panel how they have battled over years to get the university to understand the imperative of transformation for its image and reputation, but with limited success. It was explained to the panel that in large part the problem rested with how the merger process was

conceptualized. During the panel's investigations it became apparent that two conceptions of merger were at play. One view expressed to the panel was that the merger sought to preserve as much of the then status quo as possible, adopting a no-change environment that preserved a centre where Afrikaans interest, language and culture prevailed. A more pragmatic view expressed to the panel was that Potchefstroom was most likely to serve as the engine of the new university, providing strength and consistency that would uplift the other campuses – but only if the disturbance to the Potchefstroom campus was minimal.

Particular concerns were raised about the effect that the NWU language policy has had on unifying the new university. This policy, which makes Afrikaans the language of undergraduate instruction on the Potchefstroom campus and English that on the Mafikeng campus, has led to two demographically distinct campuses. In 2012, Potchefstroom's contact student population was 75% White and 25% Black (where Black includes African + Coloured + Indian students), and Mafikeng's contact student population was 1% White and 99% Black. A further consequence of the language policy is that the racial divide of the academic staffing on the two campuses reflects that of the undergraduate population. In 2012, 90% of the permanent academics on the Potchefstroom campus were White, and 85% of the permanent academic staff members on the Mafikeng campus were Black. Vaal Triangle's contact student and academic staff profiles were different to those of the other two campuses. In 2012, its contact student population was 23% White and 77% Black, and its academic staffing profile was 79% White.

The panel was told that the language policy appears to have a limiting effect on student movements between the two campuses. Average annual flows of undergraduates over the past five years from Mafikeng to Potchefstroom have been 45, and from Potchefstroom to Mafikeng also 45. These low numbers must be seen in the context of a university whose annual registration of new contact undergraduates is over 8,000. At the same time it was pointed out that the geographical locations of the campuses and the composition of the campus communities certainly also limit the mobility of students between campuses.

Pedagogical criticisms of the language policy were also expressed, particularly with respect to the fact that translation was one way – from the language of the lecturer to that of the student. It was thought that simultaneous translations where students could engage in free flowing dialogue with the lecturer would be more appropriate pedagogically.

## 1.4 Conclusions

The panel's conclusion, on the evidence available, is that NWU has not met in full this first merger objective. Clearly, progress has been made, especially in terms of the university's own definition of transformation and diversity targets. Governance and management structures and procedures designed to achieve institutional stability have been put in place, and appear to have contributed to a situation in which the university has been able to establish and develop itself. However, the panel also concludes that these structures and procedures now need to be reviewed in order to develop new and appropriate tools for the next phase of the university's development.

The panel accepts that the merger model adopted was not necessarily intended to subvert transformation, but to allow transformation in as ordered a manner as possible. However, if present management models and practices remain unchanged, there is a risk that they may serve as a shield for regressive interests and may eventually have a negative effect on furthering the transformation objectives of the university.

While the panel was repeatedly told that healthy competition exists between the campuses, it is of the opinion that cooperation needs to be stressed more strongly at this juncture of the institution's development. There appears to be a need for more emphasis on cooperation between campuses and the mechanisms to bring this about. The objective should be to develop an integrated NWU culture and identity, in order to make substantial progress towards overcoming the effects of the apartheid-induced divide.

It is the panel's view that transformation requires an enabling environment, a compelling mission and vision of the university, passionate political will, and bold leadership committed to implementing the requisite strategies across all three campuses. Transformation can be achieved in more substantial terms when the tone is set at the top. If the top leadership is reticent, indifferent or apologetic about the imperatives of transformation, little if anything will be achieved. Alternatively, more centrally-led and targeted transformation strategies, especially those related to diversifying race and gender access at all campuses of the university and attention to the exclusionary effects of the language policy, could lead to the development of a new and more enabling institutional culture at NWU, a culture which is no longer viewed as bearing the strong stamp of only one of the merged institutions.

## 2 Merger objective 2: Promoting a more equitable staff and student body

### 2.1 Institutional profile report

Regarding the second merger objective the report formulates a number of claims:

- 2a In terms of the headcount totals of permanently employed and fixed-term staff and of students, more representative staff and student bodies have been created in terms of the racial demographics of the country (p.17).
- 2b This merger objective has been realized in terms of the overall university, but not (yet) for all the campuses (p.19).
- 2c NWU has nevertheless set diversity targets which ensure that campuses are not exclusive and exclusionary.

### 2.2 Data

Table 8 in Appendix 1 summarizes the overall headcount student enrolment data for all three campuses plus NWU's distance education programmes. These data give some support to the claim in 2a. In 2008, 59% of all enrolled students were African, 5% were Coloured and Indian, and 36% White. In 2012, these proportions increased to 65% African, 5% Coloured and Indian and 30% White. These last proportions do not, however, match the demographics of the country. The mid-year 2013 population estimates prepared by Statistics SA gave the demographic proportions as African 80%, Coloured 9%, Indian 2% and White 9%.

The proportion of female students at NWU rose from 65% in 2008 to 67% in 2012. These proportions were higher than the national totals for female students registered in universities which rose from 57% in 2008 to 58% in 2012. The 2013 population estimates for South Africa were 51% female and 49% male.

Table 9 confirms the statement in 2b that the merger objective has not been realized in all campuses. Vaal Triangle campus is closest with its proportions in 2012 of 73% African and 23% White. Potchefstroom campus, even with distance students added to its 2012 total, is over-represented in terms of White students (37%) and under-represented in terms of African students (52%). Mafikeng campus had in 2012 proportions of 99% for African students and 1% for White students.

Table 9 also shows that female students were over-represented, relative to national population statistics, on all three campuses. In 2012, 68% of Potchefstroom's students (contact plus distance) were female, compared to proportions of 64% for Vaal Triangle and 61% for Mafikeng.

According to the panel, student equity assessments should not be based solely on the large-scale indicators listed in the paragraph above. For example, account has to be taken of the distribution of students across qualifications and fields of study. Some examples are:

- Table 10 in Appendix 1 shows that in 2012, 41% of all African students were enrolled for undergraduate vocational diplomas and certificates, compared to only 3% for White students. This could be attributed to the fact that the majority of these qualifications are in the distance mode in education. Nevertheless, in the same year, 13% of White students were enrolled in doctoral and masters programmes compared to only 3% for African students. The table shows further that in 2012, 53% of all African students were enrolled in teaching education programmes, taken mainly in distance mode, compared to 17% for White students. Only 15% of African students were enrolled in science and technology programmes compared to 32% for White students.
- Data from the South African Higher Education Management Information System (HEMIS) show that even though female students had a 68% share of total enrolments, they held in 2012 lower proportions of masters level enrolments (54%) and doctoral level enrolments (46%). The distribution of female students by field of study was also uneven. In 2012, 55% of all science and technology students and 72% of all education students at NWU were female.

Tables 11 and 12 of Appendix 1 show that the uneven distribution of enrolments by race group is repeated in graduate output tables. It should also be noted that the graduation numbers for the higher degrees are dominated by Whites. In 2012, NWU had 670 masters graduates, of whom 410 (or 63%) were White, and 154 doctoral graduates, of whom 112 (or 73%) were White.

The data relevant to claim 2c are contained in Tables 13 and 14 of Appendix 1. These two tables summarize enrolments by race in contact programmes and in distance education programmes. Data in the contact columns show that major differences exist across the campuses. For example, in 2012, 75% of contact students on the Potchefstroom campus were White, compared to White student proportions of 23% for Vaal Triangle and 1% for Mafikeng.

Table 15 summarizes the diversity targets referred to in claim 2c. The targets set for 2020 are that the proportion of White students on the Potchefstroom campus should drop to 70%, and on the Vaal Triangle and Mafikeng campuses should rise to 30% and 10%, respectively. These targets, according to NWU, are designed to ensure that campuses 'are not exclusive and exclusionary'.

Claim 2a refers to staff as well as students. It says that in terms of the racial demographics of the country, a more representative staff body has been created at NWU. The institutional profile report

refers to this staff body as the sum of all permanent and fixed-term staff members, academic as well as support.

External HEMIS data on fixed-term appointments are not available, but a picture can be given of permanent staff members by race group, with gender data included. The data in Table 16 in Appendix 1 on permanent staff are close to NWU's totals of permanent plus fixed-term staff. A table in the institutional profile report (p.18) gives the 2012 total of Black permanent plus fixed-term staff as 1,142. The total of permanent Black staff recorded in Table 16 is 1,218 which is 76 (or 6.6%) higher than the 1,142 quoted in the institutional profile.

Data in Table 16 show that in 2012 racial and gender compositions of NWU's permanent academic plus support staff fell well short of those of the country. Some points to note for NWU as a whole are these:

- averages across all staff employment categories in 2012 were: 63% White, 32% African, 4% Coloured and 1% Indian; 57% female and 43% male;
- averages across the instruction/research (or academic) staff category in 2012 were: 73% White, 23% African, 3% Coloured and 1% Indian; 46% female and 54% male;
- averages across the executive/management staff category in 2012 were: 76% White, 21% African, 3% Coloured, 0% Indian; 27% female and 73% male.

### 2.3 Interviews

The interviews confirmed the panel's impressions (a) that concentrating on overall institutional student headcounts ignores major underlying structural and systemic inequalities, and (b) that the objective of creating a student body representative of national demographics has not been achieved. Some of those interviewed told the panel that the diversity targets summarized in Table 15 of Appendix 1 could be interpreted as racial caps rather than as targets designed to improve racial diversity. Others, however, pointed out that these targets should be read as the minima that campuses were expected to achieve. For the panel, one danger of this lack of clarity was the possibility that these percentages could actually function as caps, depending on who was interpreting and acting on them.

The interviews confirmed the institutional profile report's admission that the targets regarding diversity of staff have yet to be achieved. Some of those interviewed indicated that the appointment of more Black staff has, despite the efforts made, proved to be extremely difficult, because of costs as well as competing employment opportunities in the public and private sectors. Others interviewed disputed the veracity of this claim, saying that more could be done by NWU to recruit Black staff.

The NWU strategy of 'growing its own timber' was looked upon as a good strategy and is being positively endorsed on all campuses. It is, however, clear to the panel that this strategy has not worked well in achieving equity amongst senior management appointments.

## 2.4 Conclusions

Even though the panel has noted that the NWU's own equity targets are linked to 'minimum diversity' and not demographic representivity, it must be stated that the data based on headcounts for the university as a whole indicate that the objective of creating a student body representative of national demographics has not in fact been achieved. The overall racial composition of the student body has moved towards the national overall demographic profile, but a problem is that both the interviews and deeper analyses of the data reflect a persistence of underlying structural inequalities.

While progress has been made with attempts to diversify the student body composition on each of the campuses, racial imbalances in the student profile still exist and the university has yet to meet its own targets of racial composition on the various campuses. The panel is not convinced that the racial targets set will ensure that 'campuses are not exclusive and exclusionary'.

Furthermore, the panel notes that gender differences exist in the NWU student body, showing relatively low female enrolments at the postgraduate level and in the science and technology disciplines.

The panel understands the difficulties of balancing the racial composition of academic and other professional staff, but it questions the explanation that this is due primarily to external competition for staff. The university may wish to consider more proactive human resource policies for recruiting and retaining staff in areas of significant imbalance.

## 3 **Merger objective 3:** Enabling the development and provision of a wider and comprehensive range of vocational, in particular, technikon-type, professional and general programmes in line with regional and national needs

### 3.1 Institutional profile report

The institutional profile report states that this is the only merger objective which the NWU Council had specifically rejected, because it believed that implementation would not be in the best interests of the newly established university. The university has rather focused on broadening its Programme and Qualification Mix (PQM) (p.19).



### 3.2 Data

Since the university clearly indicated that this objective was not pursued, the panel did not explore relevant data on the issues involved.

### 3.3 Interviews

None of those interviewed objected to this merger objective not being pursued. The panel noted that the DHET had in effect accepted the dropping of this objective, because no references are made to the provision of technikon-type programmes in student enrolment plans approved for NWU.

Furthermore, the panel was offered several examples of interesting expansions of NWU's PQM.

### 3.4 Conclusions

The panel received no evidence or argument that the institution has made an incorrect choice by not pursuing this merger objective. The panel found that important work has been carried out towards broadening the university's PQM mix.

## 4 Merger objective 4: Building administrative, management, governance and academic capacity

### 4.1 Institutional profile report

The report addresses this objective by formulating the following claims (p.20):

- 4a A high governance standard had been set from the beginning of the merger.
- 4b Management is practiced as a necessary condition for good performance.
- 4c Adequate process and procedures are in place to support good administration, but administrative capacity is not yet optimal in all areas.
- 4d Academic capacity has been enhanced.

### 4.2 Data

While quantitative data can be used to assess the claim about the enhancement of academic capacity, it is not possible to link quantitative data to NWU's formulation of the first three claims. Assessments based on quantitative indicators can, however, be made of NWU's management capacity and administrative capacity, which are the terms used in the formulation of this merger directive.

Table 17 in Appendix 1 sets out NWU's permanent staff totals for the years 2008–2012. These staff totals are divided into the staffing categories employed in South Africa's national HEMIS. The notes to the table give brief explanations of the uses of these categories.

Four indicators of management and administrative capacity can be extracted from the data in Table 17. These indicators are set out in Table 18.

*Indicator 1* reflects the extent of the 'professionalization' of the administrative staff of NWU. The indicator is calculated by dividing executive/management + support professionals by the total administrative staff of a university, where the administrative staff is taken to be all non-academic staff other than crafts/trades and service (or unskilled) staff. The data show that NWU's overall proportion has fallen from 27% in 2008 to 24% in 2012. This implies that NWU's professional staff capacity has dropped, and is now lower than the target proportion of 30% that has been set, for example, for the University of Cape Town (UCT) and the University of Johannesburg (UJ).

*Indicator 2* shows what professional support a university offers to its executive/management staff. NWU's ratio of support professionals to executive/management professionals rose from 2.4 in 2008 to 3.1 in 2012. The ratio of 3:1 is, however, low comparison to UCT's 2012 ratio of 8 and UJ's 7.

*Indicator 3* offers a further account of the level of professional support provided by a university, based on the numbers of support professionals divided by the total of permanent instruction/research professionals. NWU's ratio fell from 0.21 in 2008 to 0.15 in 2012, which implies that in 2012, it had one support professional for every seven academics, compared to the ratios of two support professionals per academic at UCT and UJ in 2012.

*Indicator 4* sets out ratios of permanent non-professional administrative + technical staff to total professional staff (i.e. including academic staff). This ratio has fallen, but at 0.77 for 2012 is consistent with the ratios of UCT and UJ.

The data in Table 19 can be used as a measure of academic capacity. Table 19 shows that NWU's permanent academic staff total increased by 321 (or 35%) in 2012, compared to 2008. This included an additional 49 full professors in 2012, compared to 2008 (an increase of 40%), and 39 associate professors (an increase of 27%). The total of permanent academics with doctoral degrees increased by 199 (or 46%) in 2012, compared to 2008.

### 4.3 Interviews

The panel was told that one of the successes of the merger process was the rapid approval of the institutional statutes, followed soon after by the implementation of the new university's governance

structure of one chancellor, one council, one vice-chancellor, one senate and one institutional forum. The establishment of the governance structure permitted the institutional vision and mission (including values) to be developed early in the merger process.

In the interviews it was pointed out repeatedly that the new management/administrative structure, based on an independent central management office coupled with semi-autonomous campus authority structures, allowed NWU to actualize many of its core objectives during its first ten years of existence. It was also stressed that even though this central Institutional Office is located in Potchefstroom, it is not part of the Potchefstroom campus. Comments were nevertheless made in interviews about close links between the Potchefstroom campus and the Institutional Office, and the perceived 'Potchification' of institution-wide policies and practices, particularly during the earlier years of the merger.

Furthermore, some interviewees pointed to the fact that the annual PriceWaterhouseCoopers award for the best governed university in South Africa had been won by NWU from 2007–2011, proving that its administrative organization was effective and of good quality. But these interviewees were also quite defensive about any suggestion that the management model should be reviewed and argued that any change would result in huge sacrifices and chaos.

There was clearly a view by some participants with whom the panel had discussions that the management model placed the university in an 'iron cage' that restricted transformation and the building of a united university culture and single university brand. The panel was told that at the Potchefstroom campus there appears to be a lack of political will to construct the management and governance structure differently, keeping it largely as a White Afrikaans campus. But the panel was also reminded that the relationship between management, governance and transformation impacted all campuses. One example provided was that the present structure has left Mafikeng as very much a Bantustan university, with a minimal draw from the non-seTswana community from elsewhere in South Africa. At Mafikeng, the panel was told, there was a tendency of branding the campus as UNIBO (the former Bantustan University of Bophuthatswana).

The panel was also told during interviews that, while the individual campus management processes may be effective to some extent, there is still much work to be done in improving the management and administrative effectiveness of the university as a whole and that more and better use of information technology facilities is needed for this.

## 4.4 Conclusions

With respect to building administrative, management, governance and academic capacity, the panel concludes that the university has made considerable progress across all areas. However, if NWU's overall performance is to be enhanced, further improvements need to be made in the management and administrative fields, particularly with respect to academic teaching-learning issues (like the continued alignment of academic programmes and the further development of quality assurance tools) and the use of information technology facilities across campuses.

But most importantly, the panel feels that the relationship between management and governance structures and practices on the one hand and the principles of transformation and social cohesion and integration of the university as a whole on the other, need to be addressed to avoid a potential crisis of leadership and institutional identity in the future.

## 5 Merger objective 5: Consolidating the deployment and use of academic personnel

### 5.1 Institutional profile report

The institutional profile report argues that the subtexts of this merger objective are 'efficiency' and 'consolidation', which implied right-sizing and retrenchment when NWU was already short of academic staff, and concerned about issues of stability.

### 5.2 Data

Given the fact that the university clearly indicated that it did not pursue this objective, the panel did not undertake a data analysis on this topic.

### 5.3 Interviews

The dominant view expressed during the interviews was that the mandatory redeployment of staff between campuses would not be appropriate, or even legally possible.

Furthermore, it was pointed out that the contracts given to academic staff members are campus-specific, which prevents NWU requiring an academic to move from one campus to another.

It was acknowledged that under a deployment policy with appropriate incentives and a clear rationale, voluntary redeployments and secondments may be an appropriate strategy for NWU.

## 5.4 Conclusions

NWU's performance relative to this objective cannot really be assessed by the panel. The panel gained the impression that this objective was seen as inappropriate in the NWU context since it focuses on processes of right-sizing and retrenchment that were assumed not to be relevant for the university.

Nevertheless, the panel would argue that while the strategy of not pursuing large-scale retrenchment and redeployment amongst campuses can be confirmed, incentives for staff mobility across campuses should be developed. This can either be done by addressing campus-specific employment vacancies with generic university-wide contracts or by making campus-specific contracts more flexible.

The panel believes that the issue is not about compulsory redeployment per se, but about the creation of an environment whereby staff can benefit from promotions and progression at any of the campuses. According to the panel, it does not appear necessary or desirable that contracts be campus-specific.

## 6 Merger objective 6: Building research capacity

### 6.1 Institutional profile report

The institutional profile report suggests that this merger objective has been achieved (p.22). The report claims that evidence for this can be seen in:

- 6a the rapid increase in research outputs;
- 6b the growth that has occurred in the total numbers of (i) researchers and (ii) first-time publishers.

### 6.2 Data

The claim in 6a is supported by the summary offered in Table 20 of Appendix 1. The table shows that the publication unit total grew from 275 in 2004, to 509 in 2008, and to 734 in 2012; an average annual growth rate of 13.1%. The doctoral graduate total grew from 87 in 2004, to 100 in 2008, and 154 in 2012; an average annual growth rate of 7.4%.

Data on what NWU describes as 'researchers' and 'first-time researchers' cannot be drawn out of HEMIS tables. The best alternative is to consider the numbers of permanent academic staff with doctorates, because they should be main producers of research outputs. Table 21 shows that sharp increases did occur in the totals of permanent academic staff members with doctorates. This total rose from 163 in 2004, to 425 in 2008, and to 628 in 2012; an average annual increase of 18.4%.

## 6.2 Interviews

The interviews confirmed that this merger objective has been achieved, both for the university as a whole and the individual campuses. Many interviewees indicated that research capacity has been strongly stimulated and developed over recent years, and that the output has been growing steadily.

It was also pointed out to the panel that particularly in the science and technology fields, the research capacity and output are relatively small.

## 6.3 Conclusion

The panel concludes that this merger objective has been reached.

However, it also notes that a better balance of research capacity and output can be created, in particular by putting more emphasis on science and technology disciplines and fields in line with regional and national targets.

## 7 Merger objective 7: Enhancing sustainability through increased size

### 7.1 Institutional profile report

The institutional profile report is very clear about this merger objective:

- 7a The report concludes that this objective of enhancing sustainability through increased size has been met by a large margin (p.23).

### 7.2 Data

The data available support this claim. Table 22 shows how distance and contact FTE student enrolments grew over the period 2004–2012. Contact FTE students grew by 7,300 in 2012, compared to 2004, and distance FTE students by 5,000. The average annual growth rates between 2004 and 2012 were 3.8% for contact students, 7.6% for distance students, and 4.8% overall. These growth rates generated income flows that resulted in NWU reporting regular surpluses between 2004 and 2012. Table 23 sums up, for this period, NWU's total income from all sources and its total expenditure on all activities.

## **7.2 Interviews**

Those interviewed on all three campuses expressed pride in their achievements with regard to student enrolments over the past decade. They also indicated that this growth in student numbers has helped to create a context of financial stability and sustainability with respect to the university's future.

## **7.3 Conclusions**

The panel concludes that this objective has been achieved. There has been sustained growth across all campuses and evidence of financial stability.

## Part II

### Mission elements

In the institutional profile report NWU's present vision and mission are described as follows (p.9):

*Vision:* To be a pre-eminent university in Africa, driven by the pursuit of knowledge and innovation.

*Mission:* To become a balanced teaching-learning and research university and to implement its expertise in an innovative way. This the NWU will achieve as it lives its values, strives for sound management and pursues transformation, while being locally engaged, nationally relevant and internationally recognised.

The report adds that NWU's

first Institutional Plan for the period 2006–2008, focused on the overall strategy to move from a tuition-based university with focused research to become an effective and transformed and balanced tuition and research university. Although the Institutional Plan was updated and amended annually, the overall core strategy (has) remained the same (pp.9–10).

The institutional profile report unpacks NWU's mission into five elements, each of which is discussed in detail. These elements are:

- transformation;
- teaching-learning;
- research;
- implementation of expertise;
- effective governance and management and positioning.

The review panel addressed these five mission elements in the same way as it analysed the merger objectives.



## 8 Mission element 1: Transformation

### 8.1 Institutional profile report

The institutional profile report sets out ten goals, which together constitute NWU's transformation agenda. The goals and their related targets appear in Table 24 in the Appendix 1. Measurements made by NWU in June 2013 and November 2013 of institutional performance against these goals are included in what is described as the 'NWU Transformation Dashboard' (pp.32–33). According to the Dashboard, the average level of transformation goal attainment, calculated across all ten transformation goals, rose from 66.4% in June 2013 to 85.2% in November 2013.

### 8.2 Data

The review panel spent some time studying the NWU Transformation Dashboard (pp.32–33). It noted that the goals and delivery targets of the Dashboard (see Table 24 in Appendix 1) have been expressed in ways that make it difficult to know if quantitative data could be used as performance indicators. Table A contains a selection of two of the ten transformation goals to illustrate this point.

**Table A: Examples of transformation goals, targets and assessments**

Goal	Target	Jun 2013 assessment	Nov 2013 assessment
<b>1 Access</b>	Ensure at all campuses that policies, processes and practices are directed towards ensuring increased and broadened participation in line with enrolment targets agreed with the DHET and the diversity targets set by Council in November 2010.	63%	94%
<b>4 Equity</b>	Ensure that policies, processes and practices are directed towards proactively addressing historically entrenched forms of discrimination. This pursuit is to take place within the guiding principle that all the NWU campuses should reflect a diverse student and staff population within the parameters of achieving the agreed minimum diversity targets.	67%	93%

It seems to the panel that the delivery targets listed above are concerned with the implementation of policies, processes and practices and not with measurable outputs. This implies that the data presented in the Dashboard cannot be seen as indications of transformation performance. The moves, for instance, in (a) the Access score from 63% in June 2013 to 94% in November 2013, and (b) the Equity score from 67% in June 2013 to 93% in November 2013, cannot be read as signals that, across a period of only six months, the issues of access and equity discussed earlier in this report are close to being resolved. According to the panel these changes can only indicate that NWU has engaged over this six-month period in substantially more activities concerned with putting policies in place, and with beginning to implement these policies.

The panel decided that the NWU Transformation Dashboard does not present transformation outcomes measures, in the sense that it is not in fact measuring the extent to which transformation results have been produced. For instance, as far as the goals related to access and equity are concerned, the focus of the Dashboard is on 'ensuring that policies, processes and practices are directed towards' achieving enrolment and equity targets. This implies that what is being measured is the extent to which the policies and practices are in place, rather than the outcomes of these policies. It follows that NWU could achieve a high transformation score even when doubts can be expressed about its actual policies, or about its actual performance.

The panel's conclusions about the achievement of Merger Objective 2 (see the earlier subsection) illustrate this point. The panel formulated the following conclusions, after its own analyses of quantitative data relating to staff and student equity:

- The data based on headcounts for the institution as a whole appear to indicate that, even though NWU's total student body is moving towards being representative of national demographics, this objective has not yet been achieved. A further, major problem is that both the interviews and deeper analyses of the data indicate the persistence of underlying structural inequalities.
- While progress has been made with attempts to diversify the student body composition on each of the campuses, the panel is not convinced that the racial targets set will ensure that 'campuses are not exclusive and exclusionary'.

These conclusions do not fit comfortably with the November 2013 Transformation Dashboard scores of 94% for access and 93% for equity, simply because the Transformation Dashboard measures something else rather than transformation results.

### 8.3 Interviews

The discussions on transformation were intense and wide-ranging at all meetings which the panel held. During these discussions various issues were explored. It seems to the panel that the following key issues were of most concern to those interviewed:

- student access and social integration;
- equity profile of academic and other professional staff;
- institutional culture.

The issues are the same as those that had emerged in discussions on and analyses of NWU's achievement of specific merger objectives (see before). The review panel has therefore based its conclusions regarding this mission element on these discussions and analyses.

### 8.4 Conclusions

The university's November 2013 Transformation Dashboard claims that NWU has made substantial progress in implementing policies and practices relating to its transformation goals. The statistical evidence summarized in the Dashboard may appear to support the university's claim. But an assessment of the extent to which transformation outcomes have been produced cannot really be based on the data collected for the Dashboard. Rather, an analysis is needed of the actual results of the NWU transformation policies. The results of such an analysis should be used to assess the progress of the institution as a whole, as well as of that of individual campuses. As argued before, the panel's view is that the transformation policy results are not such that high levels of goal attainment can be claimed by NWU.

The concept of transformation needs to be looked at in a holistic fashion. Statistics do not in themselves tell the whole story about the various aspects of this concept. Notwithstanding what the statistics may indicate, it is the panel's view that transformation at NWU does not seem to receive the high priority that it deserves.

Based on its own data analyses and interviews, the panel believes that more than a scoreboard approach to transformation policy is needed. In particular, further progress needs to be made with respect to student access and social integration and to the equity profile of academic and other professional staff.

The panel's view is that the transformation process is more than a technocratic one of putting policies in place and judging success by policy development without including substantial reflection on implementation success or impact of those policies.

Further, the issue of setting and monitoring racial targets does not tackle the question of an institutional culture that may be alienating not just for Black students and staff, but also for those who want to move the university forward in a progressive direction compatible with a democracy rather than harbouring attitudes of exclusivity. Rather than an alienating environment, an overall welcoming and inclusive climate ought to be encouraged.

The panel noted that since the NWU merger ten years ago, there have been national government commissioned external reviews that have flagged serious problems relating to issues of transformation, Black staff and student access, and institutional culture. These issues apparently still need NWU's serious attention. To the panel it was clear that, in terms of racial composition, there were three different 'cultures' on the three campuses. At Potchefstroom in 2012, 75% of contact students were White and 90% of academic and professional administrative staff were White. At Mafikeng in 2012, 99% of students were Black, with about 85% Black academic and professional administrative staff. The Vaal campus was the most 'integrated' in 2012, with 77% Black students and 25% Black academic and professional administrative staff.

The Potchefstroom campus appeared to the panel to be the most culturally homogeneous and least open to external social and political influences of the three campuses. A degree of cultural isolation may have contributed to the negative press that the university's Potchefstroom campus received recently concerning alleged right-wing extremist symbolism during a student orientation ceremony. This incident gained sufficient notoriety for the DHET to see fit to issue a media statement (see Appendix 3). The Minister of Higher Education and Training requested the NWU Council to 'institute a thorough investigation into cultural/induction/orientation/initiation practices'. On 13 March 2014, the NWU Council issued a press release listing the names of a five-member independent investigation team to report on these issues before the end of May 2014 (see Appendix 4).

The panel feels that the individual campus cultures and brands are still being encouraged too strongly and that NWU as a consequence still largely lacks its own institutional culture. In order to develop a stronger and integrated institutional culture, the panel concludes that attending to the two key items of student access/social integration and the equity profile of academic and other professional staff is needed in order to strengthen a common set of cultural values for the institution as a whole.

In addition, the panel notes that so far the university has hardly addressed the concept in its vision statement of 'being a pre-eminent university in Africa'. An intellectual engagement with this concept may well be an effective mechanism to create a base for a strong set of common institutional values.

Also, a deeper reflection by the university on its self-understanding of its Africa-orientation would allow it to have its vision more strongly reflected in its academic programmes.

## 9 Mission element 2: Teaching-learning

### 9.1 Institutional profile report

The institutional profile report says that 'the national debate in terms of teaching-learning in higher education (has) largely revolved around the issues of equity and access on the one hand, and quality and success on the other, also in attempting to strike a balance in the management of these constructs' (p.34).

The institutional profile report adds that NWU employed ten core strategies in balancing equity and access on the one hand and quality and success on the other. The strategies involve:

- enrolment planning;
- academic programme offerings and programme alignment;
- faculty structures;
- monitoring and measuring academic performance;
- rewarding teaching excellence with appropriate monetary and non-monetary measures;
- supplemental instruction;
- institutional course for new lecturers;
- staff development;
- unified policies and rules on teaching-learning;
- campus niches.

Because the panel has already addressed the issues of equity and access and was not able to cover such a wide-ranging set of activities in its teaching-learning analyses, it decided to stress the importance of quality management in teaching-learning, and therefore to concentrate on the following two crucial strategies:

- 9a academic programme alignment (pp.37–39);
- 9b monitoring and measuring academic performance (pp.41–43);

### 9.2 Data on programme alignment

The footnotes to Table 25 in Appendix 1 offer accounts of the use in South Africa of the terms qualification, programme, and programme and qualification mix (PQM).

In 2007, the national academic policies that had been in place since 1986 were replaced by a new Higher Education Qualifications Framework (HEQF). In terms of this new policy, from 2009 all new academic programmes had to meet the requirements of the HEQF. Furthermore, all existing academic programmes would, over a period of time, have to be revised to align them with the requirements of the HEQF. The HEQF alignment process would involve, in many cases, changes both to the names of qualifications and the content of their curricula.

In the first years of the merger, NWU will have faced the problem of reconciling, across the Potchefstroom and Mafikeng campuses, the different academic programmes offered, and the language and style in which institutional qualification titles are presented. Table B gives a selection of qualification titles offered by the two campuses in 2006.

**Table B: Selection of qualifications offered in 2006 on the two campuses**

Potchefstroom	Mafikeng
Baccalaureus Artium	Bachelor of Arts
Baccalaureus Scientiae	Bachelor of Science
Baccalaureus Commercii	Bachelor of Commerce
Baccalaureus Legum	Bachelor of Commerce (Industrial Communication)
Nagraadse Diploma in Boedelreg	Bachelor of Training and Development
Honneurs Baccalaureus Verbruikerswetenskappe	Magister Artium et Scientiae (Planning)
Magister in Bedryfsadministrasie	Masters in Consumer Sciences
Magister Educationis	Masters in Environmental Management

This selection of titles does not indicate the scale of the adjustment and HEQF alignment problems which NWU has had to face. Data tables are difficult to present, but Table 25 in Appendix 1 attempts to give a quantitative picture of these academic programme issues. The table offers a count based on the separate PQMs that Potchefstroom and Mafikeng had in 2006. The count links qualification titles to the major subjects linked to the qualification in order to determine the numbers of academic programmes offered. Because major subjects are compressed into education subject matter (or CESM) categories in the PQM, the totals recorded are almost certainly undercounts of the actual numbers of programmes offered in 2006. Vaal Triangle's academic programmes would have been included with those of Potchefstroom in 2006.

The totals in Table 25 are high, even if they are undercounts. The Potchefstroom totals in 2006 were 205 qualification titles and 410 academic programmes, while those for Mafikeng were 124 qualification titles and 301 academic programmes. The combined totals of 329 qualification titles and 711 academic programmes reflect the considerable amount of work and effort that NWU will have to expend on programme alignment. The university may perhaps be able to put at most 70 academic

programmes per year through all the internal and external Council on Higher Education and DHET approval processes. This suggests that NWU may need up to ten years to complete academic programme alignments. No quantitative data, of the kind listed in Table 25, are available to monitor the progress which NWU has made.

While no quantitative data are available on the implementation of this strategy, the profile report does offer a detailed historical account of programme alignment processes, which covers both NWU's internal alignment effort, as well as national programme alignment requirements. The main points in the profile report's account of internal alignment processes are summarized below:

In the first stage after the merger, the new NWU continued with all academic programmes offered by the former universities, following the rules that had applied immediately before the merger. The consequence was that NWU inherited from the merging universities a mixed bag of academic programmes, some of which were in serious decline in terms of student numbers. The programme alignment process was forced to begin by focusing on the rationalization of duplicate and redundant academic programmes.

A problem that had to be faced from the start was that faculties and programmes in faculties could not be mapped on a one-to-one basis between campuses. This was resolved by establishing cross-campus academic programme clusters, which were required to implement one of three kinds of alignment:

- *Type 1* would be absolute alignments, with identical qualification structures, identical module configurations, identical study guides and study material, and similar or identical examinations and tests.
- *Type 2* alignments would have prescribed curricula, but would be less rigorous than type 1 alignments in providing for variations across campuses in terms of focus and available expertise.
- *Type 3* alignments would involve generic qualifications such as the BA and BSc degrees, where the structure of the qualification could be aligned, and agreement reached on the core modules, but where the electives would depend on the availability of modules on different campuses.

The first phases of the programme alignment process were driven by the previous Executive Director: Teaching-Learning (the predecessor of the present Deputy Vice Chancellor), but with limited success. From 2011 onwards, the present Deputy Vice-Chancellor: Teaching-Learning took the process forward more vigorously, with the assistance and support of the campus vice-rectors and deans.

### 9.3 Interviews on programme alignment

The panel began its explorations of the various teaching-learning issues at each meeting with a series of questions on NWU's teaching-learning strategy, the programme alignment processes, and quality assurance within and across campuses. The panel received a number of responses, some of which are summed up below:

- The opinion was expressed that programme alignment and quality assurance have worked well in professional programmes that face regular external accreditation processes and have a well-structured curriculum. In contrast, cross-campus programme alignment activities in some non-professional programmes have been more difficult to achieve, due in part to reaching agreements on common syllabuses and course materials, common assignments and question papers.
- The language policy of NWU was mentioned to the panel during some of these discussions. A view was expressed by some that this policy affects teaching-learning experiences, because it functions as an obstacle to access to the Potchefstroom campus.
- The issue of NWU's commitment to distance education was also discussed. However, there was a lack of clarity and detail in both the distance education model pursued by the university and the underlying quality assurance mechanisms.

### 9.4 Conclusions on programme alignment

The panel's conclusion is that several programme alignment processes appear to have worked well, particularly in the professional area. However, it also became clear to the panel that a great deal of further work has to be done here. The relatively recent appointment of a new Deputy Vice-Chancellor for teaching and learning should help in reinforcing NWU's efforts regarding this issue, and to stimulate further successful alignments of academic programmes across the three campuses. This aspect of the mission element on teaching-learning is in need of a strong and continued commitment by the university.

### 9.5 Data on monitoring and measuring academic performance

The institutional profile report mentions that ongoing measurement and monitoring of academic performance form vital parts of academic management at NWU. One of the mechanisms used is a 'Teaching-Learning and Enrolment Scorecard', which provides a limited set of performance indicators (p.41).

The scorecard is straightforward and includes the following data sets for the period 2005–2012:



- *input indicators*: headcount contact and distance students;
- *output indicators*: total graduates;
- *efficiency indicators*: (a) undergraduate pass rates, (b) first-year dropout rates, (c) graduation rates.

The enrolment data confirm the conclusion drawn by the panel in its discussion of Merger Objective 7: NWU has experienced sustained growth in student enrolments. Total enrolments grew by 20,156 (or 52%) in 2012, compared to 2005, an average annual growth rate over the period of 6.2%. More than 60% of the increase occurred in distance student enrolments, which more than doubled from 11,504 in 2005 to 24,363 in 2012.

The graduate totals and the graduation rates in the scorecard can serve as indicators that, as far as teaching-learning outputs are concerned, NWU has been productive and efficient. In terms of productivity, the total number of degrees and diplomas awarded rose from 7,746 in 2005 to 14,669 in 2012; an increase of 6,923 (or 82%). Efficiency indicators are (a) the high average annual growth rate between 2005 and 2012 in the graduate total (9.5%) compared to the lower growth rate in the enrolment total (6.2%), and (b) the high graduation rates recorded between 2005 and 2012. Graduation rates are calculated by dividing graduate totals for a given year by enrolment totals for that same year. NWU's graduation rate average for the period was 25.5%, which is above the South African national average, and is a signal that close to 70% of any cohort of new students entering NWU will eventually obtain their degrees and diplomas.

Average graduation rate data for 2008–2012 for the three campuses show that Potchefstroom had the highest rate at 27%, followed by Mafikeng at 25%, and Vaal Triangle at 21%. These differences indicate that Potchefstroom graduates larger proportions of entering cohorts of students than Mafikeng and Vaal Triangle.

The panel had difficulty with two other efficiency indicators recorded in the scorecard. These are the first-year dropout rate and the undergraduate pass rate.

The first-year dropout rate quoted in the scorecard is impressively low with the average for 2007–2012 being about 12%. The problem is that the notion of 'first-year' is not explained. In South Africa, dropout rates are normally calculated for first-time entering undergraduates, who are defined as students who had not previously been registered at any higher education institution. The dropout rate for this category of students is normally about 20% in large contact programmes. But if 'first-year' is taken to be an academic-year-of-study category, then it would include external and internal transfer students, and even students who had failed in the previous year. The dropout rate from this broader

set of students would almost certainly be lower than that for first-time entering undergraduates. NWU needs to clarify its definitions before any assessment can be made of this scorecard element.

The scorecard presents what appears to be a combined contact plus distance students undergraduate pass rate. It was not clear to the panel how this average success rate was calculated. Table 26 in Appendix 1 uses HEMIS data for 2000–2012 to disentangle the average success rates for contact and distance learning programmes. The table shows that the data in row 4 of the NWU scorecard might be problematic, because they do not show the developments that occurred in the success rate for distance programmes. The distance and contact education undergraduate success rates, which have been extracted from Table 26, are set out here in Table C.

**Table C: Distance and contact undergraduate success rates compared**

	2000	2002	2004	2006	2008	2010	2012
<b>Distance success rates</b>	64%	56%	70%	77%	85%	85%	84%
<b>Contact success rates</b>	78%	80%	82%	79%	80%	83%	85%

The table raises some specific points:

- The distance success rates reflected for 2008 and 2010 are higher than the averages for contact undergraduate programmes: 5 percentage points for 2008 and 2 percentage points for 2010.
- The averages for 2008–2010 are 15–20 percentage points higher than national averages for distance education programmes, and are comparable to the performances of South Africa's top contact universities.

The panel requested detailed information from NWU on the operation of its distance education programmes, and in particular on its registration rules for distance students. The information provided by NWU showed that it had not, in its distance education programmes, followed the standard SA method of calculating success rates in universities. In SA a success rate is determined by dividing the FTE total of students passing a course by the FTE total of students enrolled for that course on a specific census date. Students who are enrolled on the census date but do not write the final examination, either because they have dropped out or deferred their examination, have to be counted as failures. NWU seems to have adopted a procedure in which it bases success rate calculations only on those distance-learning students who actually write their final examinations in a programme. This will inevitably lead to misleadingly high success rates being calculated. In 2012, for example, 12,907 students were recorded as being enrolled for an undergraduate distance programme in education,

but only 9,431 'participated in the examinations'. The balance of 3,457 either deferred the writing their final examination or dropped out of the programme, and were not included in the success rate calculations for this qualification. This success rate was as a consequence recorded as a very high 85.5%. The students who had not written the examinations should, in terms of normal South African data reporting, have been counted as failures, and the success rate should as a consequence have been recorded as 62%. It should be noted that 53% of all NWU students registered in the distance mode, follow a one-year qualification.

The panel expressed concerns about the ways in which the distance education pass rates are recorded, and what these indicate about the quality of distance education programmes.

## **9.6 Interviews on monitoring and measuring academic performance**

During the interviews it was repeatedly pointed out that, while there is a scheme to reward teaching excellence, there generally is the feeling that research performance is still the dominant academic reward factor.

The panel was also told that the infrastructure for teaching and learning has been improved through new and renovated buildings on all campuses, as well as through improvements of information technology on all campuses.

Furthermore, several interviewees indicated that both through the National Student Financial Aid Scheme (NSFAS) and the university's own fund, support for students has increased, which could have a positive impact on academic performance.

## **9.7 Conclusions on monitoring and measuring academic performance**

Regarding the aspect 'monitoring and measuring academic performance' of the mission element of teaching-learning, the panel supports the approaches NWU uses in academic management. The scorecard shows that NWU has had strong enrolment growth. It also shows that NWU's graduate outputs have been strong and its efficiency levels high.

The panel did, however, conclude that attention needs to be given to the aspects of the scorecard that deal with dropout and undergraduate success rates. Particular attention should be paid to finding a way of monitoring distance programmes that is comparable to the monitoring of performance in contact programmes.

## 9.8 Conclusions on mission element teaching-learning

The panel noted that NWU's academic performance with respect to contact undergraduate pass rates and overall graduation rates is strong. The panel believes that this is partly due to NWU's commitment to improve the infrastructure and support for teaching and learning, through the provision of new and renovated buildings and improved information technology links on all campuses.

The panel also noted that NWU has in place a scheme to reward teaching excellence, but also found that various research rewards and incentives outweigh those for teaching. The panel concludes that academic staff members need to feel that teaching is valued as much as research and is rewarded accordingly.

The panel concludes that the university has clearly taken steps to enhance its overall core strategy for improving teaching and learning quality. However, it also finds that the university could do more to work out its strategy to achieve teaching and learning excellence, in particular by strengthening formal institution-wide oversight over teaching-learning programmes.

## 10 Mission element 3: Research

### 10.1 Institutional profile report

The institutional profile report shows that in 2009, NWU formulated a goal to 'improve the research profile of the NWU to become one of the top five universities in South Africa in terms of total research output, productivity and focused excellence' (p.47).

The report, in supporting this goal, makes a number of claims about the volume of research at NWU. The details and background to two of these claims will be discussed in detail in this section. These two specific claims are:

10a In 2011, NWU was ranked 6<sup>th</sup> out of 23 universities based on DHET journal publication statistics. In addition, NWU produced some 5% of the national output (p.69).

10b The number of articles produced per academic 'changed dramatically in 2011 and 2012, when it jumped to 0.62 and then to 0.75'.

NWU advised the panel at the end of March 2014, which was very late in the review process, that a mistake had been made in the formulation of 10a. The claim should have been that NWU was ranked 6<sup>th</sup> out of 23 universities based on total research outputs, which include research publications plus research masters graduates and doctoral graduates.

The panel had, before being advised of the error, undertaken a bibliometric analysis of NWU's research publication performance. The results of this analysis are presented in the subsections which follow, after an account has been offered of NWU's revised claim.

## 10.2 Data

In SA research outputs, for government subsidy purposes, are taken to be publication units plus research masters graduates plus doctoral graduates. An overall amount for research outputs is included in the annual government subsidy for universities, and the allocation to an individual university depends on the proportion which it has of the national total of research outputs. The table which follows shows what these outputs were for the 23 universities for 2011 and 2012.

Two points to note about the table are these:

- The entries for individual universities have been ranked from highest to lowest on the basis of their weighted output total for 2012.
- The weighted totals for 2012 and 2011 in the first column of the table are those which are used when government research subsidies are distributed. The weightings used are: doctoral graduates x 3, research masters graduates x 1, and publication units x 1.

The data in the table confirm NWU's amended claim that it was in 2011 ranked 6th out of 23 universities in the count of weighted research outputs. The data also show that NWU remained in 6th place in 2012. The table shows further that NWU's rankings were different in the three output categories. In 2012 NWU was ranked 8th in the production of research publications (with a 7.0% share of total research publications), 5th in the production of doctoral graduates (with an 8.2% share of the total in this category), and 5th in the production of research masters graduates (with an 7.3% share of the total in this category).

**Table D1: Subsidy earning publication outputs: 2011 and 2012**

	Weighted research outputs		Publication units		Doctoral graduates		Research masters graduates	
	2012	2011	2012	2011	2012	2011	2012	2011
Stellenbosch	2 982	2 236	1 323	1 148	240	150	939	638
Pretoria	2 746	2 603	1 424	1 315	200	206	722	670
Cape Town	2 567	2 364	1 391	1 314	199	163	579	561
KwaZulu-Natal	2 487	2 193	1 424	1 250	177	154	532	480
Witwatersrand	2 085	2 078	1 114	1 037	150	169	521	534
North West	1 764	1 444	869	734	154	115	433	366
South Africa	1 669	1 267	893	798	152	93	321	190
Johannesburg	1 490	1 240	874	774	109	68	290	262
Free State	1 200	1 177	644	569	94	107	274	287
Nelson Mandela	850	791	312	351	86	59	280	263
Western Cape	846	795	367	346	75	80	254	209
Rhodes	778	693	410	359	67	57	167	164
Tshwane	502	458	230	243	44	28	140	131
Fort Hare	485	434	209	181	43	44	148	121
Limpopo	454	303	219	148	17	17	184	105
Cape Peninsula	356	282	168	142	24	13	117	101
Zululand	202	172	73	69	28	19	45	46
Venda	160	198	128	131	4	9	20	41
Durban	134	179	80	89	6	14	36	48
Val	125	107	75	75	2	2	44	26
Central	94	91	59	47	5	5	21	29
Walter Sisulu	81	67	61	45	3	4	12	10
Mangosuthu	18	26	18	26	0	0	0	0
<b>TOTALS</b>	<b>24 077</b>	<b>21 200</b>	<b>12 364</b>	<b>11 191</b>	<b>1 879</b>	<b>1 576</b>	<b>6 076</b>	<b>5 281</b>

One of NWU's research goals quoted in the first paragraph of subsection 10.1 is to become one of the top 5 universities in South Africa in terms of total research output, productivity and focused excellence (p.47). The panel's view is that totals in the first columns of the table above are not the obvious approach to measuring NWU's progress towards the achieving of this goal. The main reason is that, because the table is part of a steering mechanism for the distribution of government subsidies, these columns include data on research masters graduates and weightings of doctoral graduates which are internationally not often seen as the most appropriate elements of research output performance analysis.

The panel noted that the SA Department of Science and Technology and the SA Human Sciences Research Council produce annually a report for the OECD entitled National Survey of Research and Experimental Development. This annual report follows the OECD in identifying research publications and doctoral graduates (with no subsidy weighting attached) as the research outputs of higher education institutions. The panel decided to accept this account of research outputs being publications plus (unweighted) doctoral graduates for its analyses and assessments of NWU's research performance. Its main focus has however been on research publications. In Appendix 1 the panel uses the National Survey's account of academic staff and doctoral enrolments being the main input elements into the research production of universities.

Three different categories of research publication units are recognised in SA. These are (a) published proceedings of research conferences, (b) research books, and (c) articles in research journals. The main condition which conference papers and books must satisfy, before being included as research publication units, is that they must have been reviewed by panels of research specialists before being published. To be recognised as a publication unit, an article must have been published in a journal which appears on the list of research journals compiled and approved by the SA Department of Higher Education and Training. This list contains journals which are listed on international indices, and in particular the Thomson Reuters ISI Web of Science Indices and the ProQuest IBSS index, as well as others (mainly SA journals) which are accredited only by the Department of Higher Education and Training.

Table D2 provides the data for NWU's claim 10b; that the number of articles produced per academic 'changed dramatically in 2011 and 2012, when it jumped to 0.62 and then to 0.75' (p.69).

The table shows that NWU's publication unit total increased sharply from 734 in 2011 to 869 in 2012; an increase of 135 (or 18%). The data in the first two columns show also that NWU was in 8th place in terms of total publication units in both 2011 and 2012. Its ratio of publication units per permanent academic rose from 0.61 in 2011 to 0.70 in 2012. This increase moved NWU from its 2011 rank of 12th to 8th in 2012 in terms of publication units per permanent academic. It is important to note that the 2012 ratio is 0.70 and not 0.75 as claimed in 10b above. NWU should have calculated the ratio by dividing the 869 research publications (as shown in the table above) by NWU's 2012 HEMIS total of 1 248 permanent academics, which = 0.70. The ratio of 0.75 would have been achieved either if the permanent academic staff total in 2012 had been 90 lower than the actual total reported, or if the research publication total had been 67 higher than the actual total of 869.

**Table D2: Research publications 2011 and 2012**

	Total research publications		Research publications per permanent academic	
	2012	2011	2012	2011
Pretoria	1 424	1 315	1.11	1.03
KwaZulu-Natal	1 424	1 250	1.02	0.85
Cape Town	1 391	1 314	1.29	1.25
Stellenbosch	1 323	1 148	1.36	1.22
Witwatersrand	1 114	1 037	1.04	0.99
South Africa	893	798	0.56	0.53
Johannesburg	874	774	0.87	0.89
North West	869	734	0.70	0.61
Free State	644	569	0.68	0.67
Rhodes	410	359	1.22	1.12
Western Cape	367	346	0.66	0.65
Nelson Mandela	312	351	0.52	0.61
Tshwane	230	243	0.27	0.29
Limpopo	219	148	0.27	0.18
Fort Hare	209	181	0.65	0.62
Cape Peninsula	168	142	0.22	0.19
Venda	128	131	0.39	0.40
Durban	80	89	0.13	0.15
Vaal	75	75	0.22	0.22
Zululand	73	69	0.24	0.26
Walter Sisulu	61	45	0.10	0.07
Central	59	47	0.22	0.18
Mangosuthu	18	26	0.10	0.13
<b>TOTALS</b>	<b>12 364</b>	<b>11 191</b>	<b>0.71</b>	<b>0.66</b>

Even though its ratios have improved, data in the table suggest that, if only publication units are considered, NWU may have difficulty in becoming one of the top 5 research universities in SA. To have been in the top 5 in 2011 in terms of ratios of publication units per permanent academic, NWU would have had to produce 500 (or 68%) more publication units than its actual total of 734. To have been in the top 5 in 2012, again in terms of ratios of publication units per permanent academic, NWU would have had to produce 450 (or 52%) more publication units than its actual total of 869.

Tables 27-32 in Appendix 1 offer further analyses of NWU's research performance within the context of research data inputs and outputs for all 23 universities in SA. These analyses follow the National Survey of Research and Experimental Development in taking the main inputs into research to be academic staff and doctoral enrolments, and the main outputs to be doctoral graduates and research



publication units. Research masters graduates are not included, and doctoral graduate totals are not weighted in the tables in the Appendix 1.

Three year averages for these input and output indicators for the years 2010, 2011 and 2012 are summed up in Tables 27 and 28. Table 29 and its footnotes contain sets of targets linked to these indicators, together with explanations of the bases for the targets and the rating scores used.

NWU's research inputs are below the targets set in Table 29. Its average ratio for 2010-2012 of doctoral enrolments per permanent academic was 0.82 compared to the target of 1.0, and its average proportion of permanent academics with doctorates was 49%, which is (just) below the minimum target of 50%.

NWU's research output ratios are also below the Table 29 targets. Its average research publication unit ratio was 0.62 for 2010-2012, which was well below the expected target of 0.80. Its ratio of doctoral graduates per permanent academic of 0.11 was also below the expected target of 0.17 below target.

Table 30 uses the rating scores explained in the footnote to Table 29. These scores fall in the range of 1 to 4 (where 4 = the target set for the indicator) with respect to the research input and output performances of the 23 universities in SA. Table 30 gives NWU rating scores which place it in 11th place in the list of 23 universities; a long way below its aspired 5th place.

Tables 31 and 32 use research article data for 2011 (i.e. data not including conference proceedings and books) in assessing NWU's academic ambitions and relative performance as an internationally oriented research university. These data were derived from a report published in November 2012 by DHET. A similar report for 2012 research article outputs has not yet been published.

The report places the 2011 research article outputs for all 23 universities into subject matter categories, and divides them into subtotals of (a) those which appear in journals listed on the international citation indices referred to earlier, and (b) those which do not have international recognition but which have been included for subsidy-earning purposes on the lists maintained by the Department of Higher Education and Training. The data for 2011 show that 239 (or 37%) of NWU's research articles appeared in journals which were not internationally accredited. The data show also that NWU's 2011 ratio of articles in international recognized journals per permanent academic was 0.35, which placed NWU in 11th place on this ranking list of SA universities.

### 10.3 Interviews

The panel was told that NWU's research capacity and support had been enhanced on all campuses, and that research outputs have increased on all campuses as well. Research relevance – locally, regionally and nationally – has been an important dimension of NWU's overall research strategy. Some of those interviewed added that NWU is striving to achieve world status as a research-intensive university.

During the discussions it was repeatedly argued that acknowledging and celebrating research excellence have been important parts of NWU's efforts to create and sustain a dynamic research culture.

The panel was told further that each separate campus retained primary responsibility for the development and management of its respective research entities. Researcher participation has been limited primarily to a home campus, although the importance of virtual research networks was often mentioned.

### 10.4 Conclusions

The data show that NWU has made significant gains with regard to research output/productivity and that the university is indeed ranked 6<sup>th</sup> out of 23 South African universities in terms of the combined elements of the total research output measurement, as is being used for South African government research subsidy purposes. At the same time the conclusion is inescapable that the high ambition to become one of the top 5 South African universities will not easily be reached and that even higher ambitions – i.e. to become a world-class research-intensive university - are not realistic. NWU should recognize that its aspirational research vision is impossible to achieve in the absence of massive financial injections, which are unlikely to happen. The danger that NWU faces is that its research aspirations could consume large amounts of time and could divert staff from other activities that might be more relevant to the sustainable future of the university (particularly teaching and learning).

Research strategic planning needs to be strengthened, with clear mechanisms laid out for identifying and supporting research priorities, including a better balance between sciences/technology and humanities/social sciences in line with national priorities and the university's own goals. The identification of niche research areas of demonstrable local/regional, national relevance should be seen as a university-wide responsibility, overseen by the DVC Research, Innovation & Technology, and not one delegated to individual campuses.

More effort needs to be devoted to creating and supporting researcher mobility across the campuses, according to the academic needs of specific research initiatives. This may involve incentives for staff to relocate where necessary, or making more effective use of modern information technology.

## 11 Mission element 4: Implementation of expertise

### 11.1 Institutional profile report

The institutional profile report covers the following in its discussions of this mission element:

- technology transfer and innovation support (p.70);
- management of intellectual property rights (pp.70–74);
- community engagement and sustainability (pp.74–79).

The ten pages addressing these topics are largely descriptive and appear to have been written as a freestanding outline of NWU's policies and processes in these areas. The report nevertheless lists a number of achievements with respect to this mission element:

- 11a The Technology Transfer and Innovation Support Office provides commercialization leadership and support to the campuses.
- 11b NWU ensures statutory compliance with respect to intellectual property rights.
- 11c Between 2010 and 2013 the Office was engaged in commercializing 28 of the 40 active patents in NWU's patent portfolio.
- 11d NWU's strategy is to integrate community engagement into the core business of the university, namely teaching-learning and research.

### 11.2 Data

The panel has not been able to find relevant data on these achievements, since most of them are not described in quantitative terms. The only claims involving quantitative data appear in a subsection on commercialization activities ( p.72–74). This subsection sets out tables on patent filings and registrations, support received for the cost of patenting and of incentives for inventors, income from patent licensing, royalties and product sales. Detailed data of these kinds are not readily available in South Africa, and it is not possible, as a consequence, to assess NWU's claims in relation to other universities.

Data are, however, available on patent applications to, and grants made by, international organizations such as the European Patent Office, the US Patent and Trademark Office, and the World

Intellectual Property Organization. Table 33 summarizes the patent application and grant totals for eight South African universities for the ten-year period 2001–2010.

The table shows that NWU is placed in 4<sup>th</sup> position on this list with a total of 24 patent applications and grants during 2001–2010. NWU was ahead of Pretoria (18 applications and grants), but behind Stellenbosch (39 applications and grants), Witwatersrand (43 applications and grants), and Cape Town (65 applications and grants).

### **11.3 Interviews**

The panel explored the various issues related to this mission element in several interview sessions. In these interviews hardly any opinions were provided on the topics of technology transfer and intellectual property rights. The panel gained the impression that these were not issues that are high on the agenda of most actors in and around the university.

The main focus in interviews was on local and regional community engagement and sustainability. The panel was told that responsiveness to local/regional and community development needs has been actively pursued by NWU. Relationships with local and provincial governments appear to be strong and constructive. Several examples of local/regional engagement and community assistance projects were highlighted during interviews.

### **11.4 Conclusions**

The accounts offered suggest that NWU has a firm commitment to ensuring that its innovation and community engagement activities meet relevance criteria. Its processes around technology transfer, including the management of patents, are strong. NWU appears to be in the top four of South African universities as far as innovation in the form of patent applications and grants is concerned.

The panel also concludes that NWU clearly is able to apply its teaching and research skills in promoting relevant local and regional development, as for instance demonstrated through upgrading programmes for local and provincial government and a strong commitment to community initiatives. During the interviews with community partners and stakeholders, the panel was impressed with the degree to which the university is engaged with local and provincial government, as well as with a variety of civil society groups. The university's outreach programmes operating alongside community initiatives are to be commended.

## 12 **Mission element 5:** Effective governance and management, and positioning

### 12.1 **Institutional profile report**

The institutional profile report suggests that this mission element has remained the same through a series of institutional plans. The core of this element is described as:

Position the NWU in the sector as an accountable, effective, well-managed, financially viable and innovative institution, with a strong client focus to enhance the quality of the core business and to ensure sustainability (p.80).

Three aspects of this mission element are discussed in detail in the profile report. They are:

- NWU's management model;
- the planning process;
- financial management and performance.

The panel decided in this discussion to focus on the management model, and only briefly on financial management. In the following paragraphs the panel first addresses the topic of financial stability and secondly the governance and management model.

Regarding financial stability, the institutional profile claims that NWU is a 'financially stable institution' (p.93) and that 'excellent financial management contributed to the success of the merger' (p.91).

### 12.2 **Data on finances**

The panel noted, during its analysis of Merger Objective 7, that NWU had reported regular surpluses between 2004 and 2012. Table 23 in Appendix 1 summarizes NWU's total income from all sources and its total expenditure on all activities for this period. The institutional profile report includes a set of 15 graphs and a financial score card table (pp.84–92), which provide a comprehensive overview of NWU's financial performance over the period 2004–2012.

### 12.3 **Interviews on finances**

Nearly all of those interviewed were positive in their comments concerning the financial management of the institution. Special mention was made of the infrastructure investments across the three campuses, and the financial aid bursaries that had been made available from NWU's own funds.

## 12.4 Conclusion on finances

The panel concludes that NWU is a financially stable institution, which has displayed strong performances in financial management.

## 12.5 NWU's governance and management model

In 2004, the first council of the new university laid down as a basic principle that 'NWU would be a unitary multi-campus university with an effective and decentralized, non-federal management system' (p.5). The council spelled out the main features of this management system in the following way (p.6):

- The Institutional Office is responsible for strategic planning, institutional policy development, institutional process design, overall institutional quality, budget apportioning to the four business units (i.e. the three campuses and the Institutional Office), and overall institutional branding and positioning. In addition, the Institutional Office is responsible for operational matters requiring scarce and specialized human resources, in order to save costs and increase effectiveness and efficiency.
- The Institutional Office ensures that there is comparable and, as far as possible, equivalent quality in matters such as infrastructure and services on the three campuses, especially in academic standards.
- The campuses are autonomous operational entities which are responsible for providing teaching and learning, the conducting of research and the implementation of expertise (including community engagement). In doing so they are not managerially or operationally subject to one another or to the Institutional Office. They are, however, bound by a single NWU framework of policies, processes and targets.
- While they are operationally autonomous, the campuses are not independent, but form part of a single integrated university. The management principle of individual accountability is accommodated on all levels, culminating in the three Campus Rectors reporting directly to the Vice-Chancellor.

The profile report makes this claim about the NWU management model:

[The model] has enabled the institution to enhance its performance in terms of all its key-performance indicators and to instil sound business management principles across all three remotely located campuses of the institution (pp.80, 94).

## **12.6 Data on governance and management model**

No specific quantitative data are available on the functioning of this model.

## **12.7 Interviews on the governance and management model**

The panel encountered various responses to the management model in its discussions on (a) the merger objective of overcoming the apartheid divide, and (b) on this mission element. The panel found, during interviews on the merger objective, support for the view that organizational unity had been achieved through the successful implementation of the governance and management model. In addition, the panel was told repeatedly that the governance and management model had been a major factor in enhancing the effectiveness and efficiency of the university as a whole.

The panel did, however, at the same time note some expressions of doubt, based around perceptions that the setting up of the Institutional Office had created too much centralized steering and unnecessary bureaucracy. In this context it was argued that the Institutional Office is an extra layer of management which is disconnected from campus-based structures

However, many of those interviewed by the panel believed that the governance and management model was a key factor in the success of the merger over the first ten years of development. The panel was told that the governance and management model has encouraged the strengthening of the separate campuses, which are geographically distant from one another, and which at the start of the merger process were at different stages of development.

A number of those interviewed questioned the appropriateness of the management model in relation to the challenges that the university will face over the coming decade. In particular, there was some doubt that the current model adequately encourages the development and institutionalization of a single, integrated academic identity, university culture and brand. It was acknowledged that the Institutional Office plays a central role in the allocation of infrastructure and related services across the campuses, but doubts were expressed at the same time about its ability to deal with the major challenges of assuring comparable or equivalent quality across the campuses.

## **12.8 Conclusions on the management model**

The panel concludes that the governance and management model has served the university well during the first ten years of the merger. It allowed the three campuses to build on their respective strengths and address their weaknesses. However, it has not been sufficiently conducive to building an NWU-wide identity, culture and brand. This appears to be an ideal time to re-evaluate the overall management/governance structure of the university.

NWU is now at a stage of maturity where a new governance and management model may be appropriate. Such a model should strengthen the management and steering capacity of the university as a whole, while necessarily placing some limits on the autonomy presently enjoyed by individual campuses.

NWU may wish to consider a more integrated management structure where a number of functions, such as admissions, would be centralized. But the panel is firmly of the opinion that any detailed planning of a revised governance/management structure must be left to the university itself.



## Part III

# Summary and recommendations

### 13 Summary

The review panel realizes that this review is to be seen in the specific context of the major changes that the South African society has been and still is going through. It has tried to take this context into account while analyzing and interpreting the information regarding the position, purposes and performances of the university. Moreover, as international experience shows, the panel also understands that ten years is a relatively short period to make a definitive judgement about the results of a merger of higher education institutions.

The panel included summaries of its conclusions at the end of each section in the main body of the report. These conclusions were of two kinds: (a) one set gave the panel's assessments of the extent to which NWU had met the merger objectives and its mission elements, and (b) the other pointed towards the panel's final recommendations to NWU. This section deals only with the panel's assessments of NWU's achievement of objectives and goals.

These assessments are summed up in Tables E1 and E2. Table E1 deals with the seven merger objectives, and Table E2 with the five mission elements and their goals. The tables show that the panel's view is that NWU has met in full two of the merger objectives, a further two in part, and did not meet one of the merger objectives, while two objectives were not applicable. The panel's further view is that NWU satisfied fully one set of mission goals, and partially a further four.

**Table E1: Summary of merger objectives and conclusions of panel**

Merger objectives		Conclusions drawn by panel	
		<i>Has NWU met objective?</i>	<i>Summary of basis for conclusions</i>
<b>1</b>	Overcoming the apartheid-induced divide	Not in full	<ul style="list-style-type: none"> <li>• Present management structures and practices are not fully conducive to achieving transformation goals.</li> <li>• Structures and mechanisms designed to encourage cooperation between campuses are not in place.</li> <li>• More emphasis needs to be placed on developing an integrated NWU culture and identity.</li> </ul>
<b>2</b>	Promoting a more equitable staff and student body	No	<ul style="list-style-type: none"> <li>• Racial and gender imbalances persist in composition of student and academic staff bodies.</li> <li>• Separate racial targets per campus are not effective ways in themselves of ensuring that campuses are not exclusionary.</li> </ul>
<b>3</b>	Enabling the provision of a wider range of vocational programmes	Not applicable	<ul style="list-style-type: none"> <li>• NWU did not accept this as a merger objective.</li> <li>• NWU has nevertheless made progress in developing a comprehensive suite of academic programmes.</li> </ul>
<b>4</b>	Building administrative and academic capacity	Not in full	<ul style="list-style-type: none"> <li>• Good progress has been made in developing academic capacity.</li> <li>• Improvements in management capacities are still possible.</li> </ul>
<b>5</b>	Consolidating the deployment and use of academic personnel	Not applicable	<ul style="list-style-type: none"> <li>• Academic staff mobility across campuses has not been actively supported.</li> </ul>
<b>6</b>	Building research capacity	Yes	<ul style="list-style-type: none"> <li>• Objective has been met across all campuses.</li> <li>• Improvements in capacity have led to increased research outputs.</li> </ul>
<b>7</b>	Enhancing sustainability through increased size	Yes	<ul style="list-style-type: none"> <li>• Financial management has been sound, and sustainability has been enhanced through enrolment growth.</li> <li>• Infrastructure provision has improved through new and renovated buildings on all campuses.</li> </ul>

**Table E2: Summary of mission element goals and conclusions of panel**

Mission elements			Conclusions drawn by panel	
	Description	Goals	Has NWU met goals?	Summary of basis for conclusions
1	<b>Transformation</b>	Ten goals set by NWU related to: access, alignment, diversity, equity, increased unity, quality, redress, resource allocation, student experience, success	Not in full	<ul style="list-style-type: none"> <li>NWU has put in place policies and practices designed to meet goals, but their full implementation remains problematic.</li> <li>Student access and equity policy goals have not been met.</li> <li>Progress in developing an institution-wide culture has been slow.</li> <li>Progress in student social integration has been slow.</li> <li>Equity problems persist in profiles of academic and professional management staff.</li> </ul>
2	<b>Teaching-learning</b>	Balance (a) equity and access, and (b) quality and success	Not in full	<ul style="list-style-type: none"> <li>Alignment of academic programmes through the Higher Education Qualification Framework (HEQF) has begun, and progress has been made on developing an institution-wide quality framework.</li> <li>Success rates and graduate outputs have improved on all campuses, and are now good.</li> <li>Inequities in student body affect teaching-learning activities.</li> <li>No institution-wide oversight of all teaching-learning programmes is in place.</li> </ul>
3	<b>Research</b>	Improve research profile to become one of top five research universities in South Africa	Not in full	<ul style="list-style-type: none"> <li>NWU has made major gains in terms of research outputs.</li> <li>NWU's current research aspirations require considerable and unrealistic investments.</li> </ul>
4	<b>Implementation of expertise</b>	(a) Support technology transfer activities, patents, (b) make community service part of core business of NWU	Yes	<ul style="list-style-type: none"> <li>Processes on technology transfer are strong.</li> <li>NWU is in top four of South African universities in patent applications and grants.</li> <li>Strong evidence is available that NWU is promoting local and regional development.</li> </ul>
5	<b>Effective governance and management</b>	Provide a well-managed and financially stable institution	Not in full	<ul style="list-style-type: none"> <li>Governance and merger model stabilized campuses during first years of merger.</li> <li>The model has not enabled an NWU-wide identity and culture to be developed.</li> <li>Steering and integrative management capacity at the centre needs to be stronger.</li> <li>NWU is a financially stable institution, with a strong financial management.</li> <li>Financial support of students has increased, through use of both NSFAS and NWU funds.</li> </ul>

## 14 Commendations

- 14.1 Those involved in NWU's building of research capacity and of expertise in technology transfer should be commended for the successes that they have achieved.
- 14.2 Those involved in NWU's promotion of local and regional development and community engagement should be commended for their successful efforts.
- 14.3 NWU's executive should be commended for its financial management of the institution and for its resulting financial stability.

## 15 Recommendations

### 15.1 Transformation

In addressing the transformation issues raised in this report, NWU should consider implementing the following recommendations:

- 15.1.1 NWU should make a strong commitment to making progress with respect to:
- improving student access and social integration;
  - improving the equity profiles of academic and senior administrative staff;
  - addressing adverse issues of institutional culture.
- 15.1.2 NWU should re-evaluate its language policies with a view to making English as well as Afrikaans the languages of communication and instruction on the Potchefstroom campus.
- 15.1.3. In the development of effective mechanisms for creating an institutional culture and a strong set of common institutional values, NWU should address the concept in its vision statement of 'being a pre-eminent university in Africa', and in doing this should reflect on its self-understanding of its Africa-orientation.
- 15.1.4. As a crucial aspect of its transformation approach, NWU should put in place policies that both embrace the values of the South African national constitution and promote diversity and human rights.
- 15.1.5. As part of a process of developing common institutional loyalties NWU should consider establishing pan-university sporting teams, particularly in those areas where the university engages in national and international sporting events.

15.1.6. NWU should develop more proactive university-wide human resource policies for recruiting and retaining staff in areas of significant racial and gender imbalance.

15.1.7. NWU should develop incentives for staff mobility across campuses within the context of either replacing campus-specific contracts with more generic university-wide contracts or making campus-specific contracts more flexible.

## **15.2 Teaching and learning**

In addressing the teaching and learning issues raised in this report, NWU should consider implementing the following recommendations:

15.2.1. NWU needs to ensure that teaching-learning activities are given equal prominence to research in terms of staff rewards and workload allocations.

15.2.2. NWU should build a profile of excellence in teaching-learning across all campuses.

15.2.3. As part of its search for excellence in teaching-learning, NWU should explore new curricula and learning and teaching pedagogies aligned with the demands of a transforming environment.

15.2.4. NWU should pay attention to monitoring its academic performance in teaching and learning, particularly regarding dropout rates and undergraduate success rates.

15.2.5. NWU should develop a better monitoring approach to academic performance in distance learning programmes, comparable to the performance monitoring in contact programmes, and treat distance learning as a university-wide rather than a campus-specific activity.

15.2.6. NWU should make further improvements in its administrative and management systems with respect to academic activities, especially regarding teaching-learning issues and the use of information technology facilities across campuses.

15.2.7. The Deputy Vice Chancellor for teaching and learning should exercise full executive authority in reinforcing NWU's efforts regarding the successful alignments of academic programmes (especially their quality) across the three campuses.

### **15.3 Research**

In addressing the research issues raised in this report, NWU should consider implementing the following recommendations:

- 15.3.1. NWU should critically and realistically assess the aspirational and quality implications of its research mission.
- 15.3.2. NWU should enhance research capacity by putting more emphasis on science and technology disciplines and fields in line with regional and national targets.
- 15.3.3. NWU should strengthen research strategic planning, with clear mechanisms laid out for identifying and supporting research priorities.
- 15.3.4. NWU should identify niche research areas of demonstrable local/regional relevance as a university-wide responsibility.
- 15.3.5. NWU should devote more effort to creating and supporting researcher mobility across the campuses, according to the academic needs of specific research initiatives.

### **15.4 Governance**

In addressing the governance issues raised in this report, NWU should consider implementing the following recommendation:

- 15.4.1. As a matter of priority NWU should review its present model of governance and management to enable it develop an integrated NWU culture and identity, and to strengthen steering capacity over the institution as a whole.

# Appendix 1:

## Data tables

1	STUDENT TABLES	
1.1	Headcount student enrolments	Tables 8–10, 13–15
1.2	Graduates	Tables 11–12
1.3	FTE student enrolments	Table 22
1.4	Count of academic programmes and qualifications	Table 25
1.5	Distance and contact success rate	Table 26
2	STAFF TABLES	
2.1	All permanent staff	Tables 17–19
2.2	Permanent academic staff	Tables 1–3, 16, 21
2.3	Ratios of FTE students to FTE academics	Table 4
3	RESEARCH TABLES	
3.1	Subsidy earning research outputs	Tables 6, 20
3.2	Ratios of research articles per academic	Table 7
3.2	Research inputs and outputs: All South African universities	Tables 27–30
3.3	Accreditation of journals: All South African universities	Tables 31–32
4	FINANCE TABLES	
4.1	Expenditure on infrastructure	Table 5
4.2	Income totals	Table 23
5	OTHER TABLES	
5.1	Transformation goals	Table 24
5.2	Patent applications and grants	Table 33

## PART I: Merger objectives

### Merger objective 1:

Overcoming the apartheid-induced divide between a historically white and historically black institution

**Table 1: Permanent academic staff by rank: 2008–2012**

	POTCHEFSTROOM			MAFIKENG			VAAL TRIANGLE		
	2008	2010	2012	2008	2010	2012	2008	2010	2012
Professors	109	123	140	9	18	20	6	13	13
Associate professors	110	124	125	19	31	37	14	19	20
Senior lecturers	178	201	250	54	63	67	38	45	50
Lecturers	177	207	240	100	108	120	27	35	54
Junior lecturer & below	49	55	65	22	14	14	15	30	33
<b>TOTAL</b>	<b>623</b>	<b>710</b>	<b>820</b>	<b>204</b>	<b>234</b>	<b>258</b>	<b>100</b>	<b>142</b>	<b>170</b>

Source: Data provided by North-West University (NWU)

**Table 2: Proportions of permanent academic staff in rank categories: 2008–2012**

	POTCHEFSTROOM			MAFIKENG			VAAL TRIANGLE		
	2008	2010	2012	2008	2010	2012	2008	2010	2012
Professors	17%	17%	17%	4%	8%	8%	6%	9%	8%
Associate professors	18%	17%	15%	9%	13%	14%	14%	13%	12%
Senior lecturers	29%	28%	30%	26%	27%	26%	38%	32%	29%
Lecturers	28%	29%	29%	49%	46%	46%	27%	25%	32%
Junior lecturer & below	8%	8%	8%	11%	6%	5%	15%	21%	19%

Source: Data provided by NWU

**Table 3: Proportions of permanent academic staff in highest formal qualification categories: 2008–2012**

	POTCHEFSTROOM			MAFIKENG			VAAL TRIANGLE		
	2008	2010	2012	2008	2010	2012	2008	2010	2012
Doctoral degree	54%	54%	54%	24%	35%	43%	42%	47%	44%
Masters degree	30%	29%	28%	53%	48%	40%	31%	32%	28%
Below masters	16%	18%	18%	23%	17%	17%	27%	20%	28%

Source: Data provided by NWU

**Table 4: Ratios of FTE enrolled students to FTE academic staff by broad fields of study: 2008–2012**

	POTCHEFSTROOM			MAFIKENG			VAAL TRIANGLE		
	2008	2010	2012	2008	2010	2012	2008	2010	2012
Science and technology	19	22	14	22	26	28	23	32	23
Business, economics & management	41	35	27	47	36	34	59	48	31
Education	119	93	91	52	35	51	33	31	27
Humanities & social sciences	29	32	30	26	33	41	20	27	38
<b>TOTAL</b>	<b>39</b>	<b>38</b>	<b>27</b>	<b>29</b>	<b>31</b>	<b>36</b>	<b>28</b>	<b>33</b>	<b>31</b>

Source: Data provided by NWU



**Table 5: Expenditure on new and refurbished infrastructure (Rands millions): 2008–2012**

	2008	2009	2010	2011	2012	Five-year totals	
<b>Mafikeng campus</b>	23	31	76	38	36	204	24%
<b>Potchefstroom campus</b>	67	84	75	130	142	498	59%
<b>Vaal Triangle campus</b>	24	29	26	31	33	143	17%
<b>TOTAL</b>	<b>114</b>	<b>144</b>	<b>177</b>	<b>199</b>	<b>211</b>	<b>845</b>	<b>100%</b>

Source: Data provided by NWU

**Table 6: Subsidy-earning research publications: 2008–2012**

	POTCHEFSTROOM			MAFIKENG			VAAL TRIANGLE		
	2008	2010	2012	2008	2010	2012	2008	2010	2012
<b>Books</b>	11	19	47	1	3	9	1	0	6
<b>Conference proceedings</b>	16	38	57	2	4	12	0	11	12
<b>Journal articles</b>	405	396	540	26	53	172	40	62	77

Source: Data provided by NWU

**Table 7: Ratios of research journal articles to permanent academic staff: 2008–2012**

	POTCHEFSTROOM			MAFIKENG			VAAL TRIANGLE		
	2008	2010	2012	2008	2010	2012	2008	2010	2012
<b>Permanent academics with doctoral degrees</b>	1.20	1.04	1.22	0.53	0.64	1.55	0.95	0.93	1.04
<b>Total permanent academics</b>	0.65	0.56	0.66	0.13	0.23	0.67	0.40	0.44	0.45

Source: Data provided by NWU

## Merger objective 2: Promoting a more equitable staff and student body

**Table 8: Overall NWU totals of headcount student enrolments: 2008–2012**

	2008	2010	2012
<b>African</b>	59%	65%	65%
<b>Coloured</b>	3%	4%	4%
<b>Indian</b>	1%	1%	1%
<b>White</b>	36%	30%	30%
<b>TOTAL</b>	47,008	55,732	58,752
<b>Female</b>	65%	66%	67%
<b>Male</b>	35%	34%	33%

Source: Department of Higher Education and Training (DHET), Higher Education Management Information System (HEMIS), Student Statistics Tables 2.7 for 2008 to 2012

**Table 9: Contact + distance enrolments by race and gender by campus: 2008–2012**

	POTCHEFSTROOM			MAFIKENG			VAAL TRIANGLE		
	2008	2010	2012	2008	2010	2012	2008	2010	2012
<b>African</b>	51%	53%	52%	92%	98%	97%	65%	69%	74%
<b>Coloured</b>	4%	5%	6%	1%	1%	1%	1%	2%	2%
<b>Indian</b>	1%	1%	1%	0%	0%	0%	2%	2%	1%
<b>White</b>	44%	35%	37%	7%	1%	1%	31%	27%	23%
<b>TOTAL</b>	<b>35,174</b>	<b>41,965</b>	<b>42,338</b>	<b>8,090</b>	<b>8,554</b>	<b>10,257</b>	<b>3,744</b>	<b>5,213</b>	<b>6,157</b>
<b>Female</b>	66%	68%	68%	62%	61%	61%	63%	65%	64%
<b>Male</b>	34%	32%	32%	38%	39%	39%	37%	35%	36%

Source: Data provided by NWU

**Table 10: Overall NWU proportions of African and White students in qualification types and fields of study (2012)**

	African students	White students
<b>Occasional students</b>	0%	1%
<b>Undergraduate diplomas &amp; certificates</b>	41%	3%
<b>Undergraduate degrees</b>	33%	74%
<b>Postgraduate below masters</b>	21%	9%
<b>Masters and doctoral</b>	4%	13%
<b>TOTAL STUDENTS</b>	<b>36,488</b>	<b>17,063</b>
<b>Science &amp; technology majors</b>	15%	32%
<b>Business, management, economics majors</b>	12%	27%
<b>Education majors</b>	53%	17%
<b>Humanities and social sciences majors</b>	20%	24%

Source: DHET, HEMIS, Student Statistics Table 2.12 for 2012

**Table 11: Overall NWU graduates by race group: 2012 only**

	African	Coloured + Indian	White
Undergraduate diplomas & certificates	4,076	255	165
Undergraduate degrees	1,825	240	2,706
Postgraduate below masters	2,274	168	1,182
Masters	224	27	419
Doctoral	34	8	112
<b>TOTAL</b>	<b>8,433</b>	<b>698</b>	<b>4,584</b>
Science and technology	1,435	134	1,256
Business, economics & management	874	91	1,489
Education	4,727	367	801
Humanities & social sciences	1,398	106	1,038

Source: DHET, HEMIS, Student Statistics Table 20.13 for 2012

**Table 12: Overall NWU proportions of graduates in race group and qualification categories: 2012 only**

	African	Coloured + Indian	White
Undergraduate diplomas & certificates	48%	37%	4%
Undergraduate degrees	22%	34%	59%
Postgraduate below masters	27%	24%	26%
Masters	3%	4%	9%
Doctoral	0%	1%	2%
<b>TOTAL</b>	<b>8,433</b>	<b>698</b>	<b>4,584</b>
Science and technology	17%	19%	27%
Business, economics & management	10%	13%	32%
Education	56%	53%	17%
Humanities & social sciences	17%	15%	23%

Source: Calculations based on data in Table 11 above

**Table 13: Summary of total distance students and contact students by campus: 2008–2012**

	DISTANCE EDUCATION: ALL CAMPUSES			POTCHEFSTROOM CONTACT			MAFIKENG CONTACT			VAAL TRIANGLE CONTACT		
	2008	2010	2012	2008	2010	2012	2008	2010	2012	2008	2010	2012
African + Coloured + Indian	18,239	24,430	23,483	3,429	4,467	4,947	6,155	6,957	8,602	2,094	3,587	4,639
White	3,029	1,180	882	12,446	13,400	14,685	478	85	113	1,138	1,626	1,401
<b>TOTAL</b>	<b>21,268</b>	<b>25,610</b>	<b>24,365</b>	<b>15,875</b>	<b>17,867</b>	<b>19,632</b>	<b>6,633</b>	<b>7,042</b>	<b>8,715</b>	<b>3,232</b>	<b>5,213</b>	<b>6,040</b>

Source: Data provided by NWU

**Table 14: Proportions of students in distance and contact categories: 2008–2012**

	DISTANCE EDUCATION: ALL CAMPUSES			POTCHEFSTROOM CONTACT			MAFIKENG CONTACT			VAAL TRIANGLE CONTACT		
	2008	2010	2012	2008	2010	2012	2008	2010	2012	2008	2010	2012
African + Coloured + Indian	86%	95%	96%	22%	25%	25%	93%	99%	99%	65%	69%	77%
White	14%	5%	4%	78%	75%	75%	7%	1%	1%	35%	31%	23%
<b>TOTAL</b>	<b>21,268</b>	<b>25,610</b>	<b>24,365</b>	<b>15,875</b>	<b>17,867</b>	<b>19,632</b>	<b>6,633</b>	<b>7,042</b>	<b>8,715</b>	<b>3,232</b>	<b>5,213</b>	<b>6,040</b>

Source: Calculations based on data in Table 14 above

**Table 15: Contact students: Actual 2012 and targets for 2020**

	POTCHEFSTROOM CONTACT		MAFIKENG CONTACT		VAAL TRIANGLE CONTACT		NWU CONTACT TOTAL	
	Actual 2012	Target 2020	Actual 2012	Target 2020	Actual 2012	Target 2020	Actual 2012	Target 2020
<b>African + Coloured + Indian</b>	25%	30%	99%	90%	77%	70%	51%	57%
<b>White</b>	75%	70%	1%	10%	23%	30%	49%	43%

Source: Data provided by NWU

**Table 16: Overall NWU proportions of permanent staff in race and gender categories**

	African	Coloured	Indian	White	Total	Female	Male
<b>Instruction/research professionals</b>	23%	3%	1%	73%	1,248	46%	54%
<b>Executive/management professionals</b>	21%	3%	0%	76%	96	27%	73%
<b>Support professionals</b>	19%	3%	1%	77%	295	54%	46%
<b>Technical staff</b>	34%	3%	1%	61%	229	42%	58%
<b>Non-professional administrative staff</b>	26%	7%	1%	67%	1,027	81%	19%
<b>Crafts/trades staff</b>	38%	0%	0%	62%	29	17%	83%
<b>Service staff</b>	93%	3%	0%	4%	363	47%	53%
<b>TOTAL PERMANENT STAFF</b>	32%	4%	1%	63%	3,287	1,860	1,427

Source: DHET, HEMIS, Staff Statistics Table 3.3 for 2012

**Merger objective 3:**

Enabling the development and provision of a wider and comprehensive range of vocational, professional and general programmes in line with regional and national needs

No data tables available

## Merger objective 4:

### Building administrative, management, governance and academic capacity

**Table 17: NWU permanent staff by employment category (all NWU campuses + institutional office) 2008–2012**

	2008	2010	2012
<b>Instruction/research professionals</b>	927	1,086	1,248
<b>Executive/management professionals</b>	111	104	96
<b>Support professionals</b>	269	267	295
<b>Total professional staff</b>	1,307	1,457	1,639
<b>Technical staff</b>	210	207	229
<b>Non-professional administrative staff</b>	842	917	1,027
<b>Crafts/trades staff</b>	34	33	29
<b>Service staff</b>	360	366	363
<b>Total non-professional staff</b>	1,446	1,523	1,648
<b>TOTAL PERMANENT STAFF</b>	2,753	2,980	3,287

Source: DHET, HEMIS, Staff Statistics Table 3.3 for 2012

#### Notes:

HEMIS divides the staff of universities into the two broad categories of (a) professional posts, which set a four-year higher education qualification as a minimum requirement, and (b) non-professional posts, which do not have such a requirement. Professional posts in HEMIS are divided into three subcategories:

- instruction/research professionals, who spend at least 50% of their time on duty on teaching and/or research activities;
- executive/management professionals, whose function is the management of the institution or one of its major divisions;
- support professionals, who have no major managerial responsibilities, and whose primary function is the provision of academic or institutional support services.

Non-professional posts in HEMIS are divided into four subcategories

- technical staff, whose primary function is undertaking technical duties;
- non-professional administrative staff, whose primary function is clerical or secretarial;
- crafts/trades staff, who undertake manually skilled activities;
- service staff, who undertake unskilled activities.

**Table 18: Overall NWU indicators of management and administrative capacity: 2008–2012**

	2008	2010	2012
<b>Indicator 1:</b> Executive/management + support professionals as % of total administrative staff (excluding crafts/trades and service)	27%	25%	24%
<b>Indicator 2:</b> Ratio of permanent support professional staff to executive/management staff	2.4	2.6	3.1
<b>Indicator 3:</b> Ratio of permanent support professional staff to permanent academics	0.21	0.16	0.15
<b>Indicator 4:</b> Ratio of permanent non-professional administrative + technical staff to total professional staff	0.80	0.77	0.77

Source: Calculations using totals in Table 17 above

**Table 19: Overall NWU permanent academic staff totals by rank: 2008–2012**

	2008	2010	2012	Average annual increase
<b>Professors</b>	124	154	173	8.7%
<b>Associate professors</b>	143	174	182	6.2%
<b>Senior lecturers</b>	270	309	367	8.0%
<b>Lecturers</b>	304	350	414	8.0%
<b>Junior lecturer &amp; below</b>	86	99	112	6.8%
<b>TOTAL</b>	<b>927</b>	<b>1,086</b>	<b>1,248</b>	<b>7.7%</b>

Source: DHET, HEMIS, Staff Statistics Tables 3.4 for 2008–2012

**Merger objective 5:**  
Consolidating the deployment and use of academic personnel

No data tables available



## Merger objective 6: Building research capacity

**Table 20: Overall NWU subsidy-earning research output totals: 2004–2012**

	2004	2006	2008	2010	2012	Average annual increase 2004–2012
Publication units	275	361	509	586	734	13.1%
Research masters graduates	262	384	281	353	433	6.5%
Doctoral graduates	87	110	100	129	154	7.4%
<b>TOTAL (unweighted)</b>	624	854	890	1,068	1,321	9.8%

Sources:

(a) DHET: Ministerial reports on the evaluation of institutional research publication outputs

(b) DHET, HEMIS, Student Statistics Table 3.13 for 2004–2012

**Notes:**

- (1) The publication units total consists primarily of research articles, but does include a small number of units generated by published research conference proceedings and published research books.
- (2) A subsidy total, for government funding purposes, is a weighted one in which doctoral graduate totals are multiplied by 3.

**Table 21: Overall NWU totals of permanent academic staff by highest formal qualification: 2004–2012**

	2004	2006	2008	2010	2012	Average annual increase 2004–2012
Doctoral degree	163	386	429	529	628	18.4%
Masters degree	397	304	325	361	381	-0.5%
Below masters	198	215	173	196	239	2.4%
<b>TOTAL</b>	758	905	927	1,086	1,248	6.4%

Source: DHET, HEMIS, Staff Statistics Tables 3.4 for 2004–2012

## Merger objective 7: Enhancing sustainability through increased size

**Table 22: Overall NWU totals of full-time equivalent (FTE) students in contact and distance mode: 2004–2012**

	2004	2006	2008	2010	2012	Average annual increase 2004–2012
<b>Contact FTE students</b>	20,944	22,951	21,612	24,151	28,263	3.8%
<b>Distance FTE students</b>	6,326	5,107	9,832	12,303	11,347	7.6%
<b>TOTAL FTE STUDENTS</b>	27,270	28,058	31,444	36,454	39,610	4.8%

Source: DHET, HEMIS, Student Statistics Tables 2.09 and 2.19 for 2004–2012

**Table 23: NWU total income from all sources and expenditure on all activities (Rands millions: 2004–2012)**

	2004	2006	2008	2010	2012
<b>Income</b>	1,011	1,210	1,671	2,002	2,693
<b>Expenditure</b>	970	1,197	1,600	1,964	2,609
<b>Surplus</b>	41	13	71	38	84
<b>Surplus (as % of income)</b>	4.1%	1.1%	4.2%	1.9%	3.1%

Source: DHET, Annual Report and Financial Statements submitted to Minister of Higher Education and Training, 2004–2012

## PART II: Mission elements

### Mission element 1: Transformation

**Table 24: Transformation goals and delivery targets**

Transformation goals	Delivery targets related to goals	November 2013 self-assessment
<b>1 Access</b>	Ensure at all campuses that policies, processes and practices are directed towards ensuring increased and broadened participation in line with enrolment targets agreed with the DHET and the diversity targets set by Council in November 2010.	94%
<b>2 Alignment</b>	Ensure that policies, practices and processes are adjusted in order to establish a sustainable synchronization of growth and development in the university core business.	72%
<b>3 Diversity</b>	Ensure that NWU grows systematically as a multi-campus university that draws on its diversity in terms of demographics, socio-economic background, status and socio-cultural viewpoints. In particular, it wishes to promote multiculturalism and the open exchange of diverse views in a context that allows different traditions, beliefs and viewpoints to co-exist harmoniously, thus enriching each other within NWU as a dynamic and unitary community.	63%
<b>4 Equity</b>	Ensure that policies, processes and practices are directed towards proactively addressing historically entrenched forms of discrimination. This pursuit is to take place within the guiding principle that all the NWU campuses should reflect a diverse student and staff population within the parameters of achieving the agreed minimum diversity targets.	93%
<b>5 Increased unity</b>	Coordinate the review, optimization and implementation of policies, processes, procedures and systems that support the core business, while recognizing its integrated nature towards the establishment of an inclusive institutional culture based on the value system of the university.	77%
<b>6 Quality</b>	Ensure that quality is managed as an integral part of all facets of NWU's core business.	92%
<b>7 Redress</b>	Ensure that policies, processes and priorities aimed at redressing systemic and organizational imbalances and inequalities are in place, with specific reference to rectifying historically entrenched practices.	67%
<b>8 Resource allocation</b>	Ensure, through proper processes and structures, that the distribution of NWU resources are aligned, equitable and transparent to support the core-business strategies of the NWU.	100%
<b>9 Student experience</b>	Ensure that a suitably enabling environment is created for students, conducive to the creation of a balanced student experience as regards academic, social-cultural and sport activities in and across campuses, and also in terms of the development of students into leaders.	84%
<b>10 Success</b>	Measure the university's performance by using a variety of benchmarks, including the ten elements of transformation.	95%

Source: NWU Institutional Profile, pp.24–33, December 2013

## Mission element 2: Teaching-learning

**Table 25: Count of academic programmes and qualifications offered by NWU in 2006**

	POTCHEFSTROOM		MAFIKENG		NWU TOTAL	
	<i>Qualification titles</i>	<i>Academic programmes</i>	<i>Qualification titles</i>	<i>Academic programmes</i>	<i>Qualification titles</i>	<i>Academic programmes</i>
<b>Undergraduate diplomas &amp; certificates</b>	53	53	23	23	76	76
<b>General bachelors degrees</b>	3	42	3	40	6	82
<b>Professional bachelors degrees</b>	69	85	39	76	108	161
<b>Postgraduate diplomas</b>	15	15	6	6	21	21
<b>Postgraduate bachelors degrees</b>	7	7	2	2	9	9
<b>Honours degrees</b>	18	70	16	34	34	104
<b>Masters degrees</b>	33	71	28	64	61	135
<b>Doctoral degrees</b>	7	67	7	56	14	123
<b>TOTAL</b>	205	410	124	301	329	711

Source: DHET, approved programme and qualification mixes, 2006

### Notes:

- (1) An academic programme is a structured set of learning experiences in a field of study that leads to a qualification. A qualification is the formal certification of learning achievements, and a field of study is the major or principal discipline followed in that qualification.
- (2) The qualifications that public universities in South Africa offer and the fields of study in which they are active have to be approved by the Minister of Higher Education. These approvals are summed up in each university's Programme and Qualification Mix (PQM), which is maintained by the DHET. Additions to, or deletions from, a PQM have to be approved by the Minister of Higher Education.

**Table 26: Calculation of contact and distance undergraduate success rates for NWU: 2000–2012**

	2000	2002	2004	2006	2008	2010	2012
<b>CONTACT MODE</b>							
FTE enrolled undergraduate students	12,758	12,688	16,960	19,259	18,608	20,714	24,565
FTE degree credit undergraduate students	10,013	10,119	13,868	15,154	14,840	17,207	20,832
Contact success rates (ratios of FTE degree credit to FTE enrolled students)	78%	80%	82%	79%	80%	83%	85%
<b>DISTANCE MODE</b>							
FTE enrolled undergraduate students	560	2,488	3,141	4,054	7,757	8,593	8,135
FTE degree credit undergraduate students	360	1,394	2,199	3,115	6,558	7,288	6,859
Distance success rates (ratios of FTE degree credit to FTE enrolled students)	64%	56%	70%	77%	85%	85%	84%
<b>CONTACT + DISTANCE MODE</b>							
FTE enrolled undergraduate students	13,318	15,176	20,101	23,313	26,365	29,307	32,700
FTE degree credit undergraduate students	10,373	11,513	16,067	18,269	21,398	24,495	27,691
Contact + distance success rates (ratios of FTE degree credit to FTE enrolled students)	78%	76%	80%	78%	81%	84%	85%

Sources: Contact FTE students and FTE degree credits: DHET, HEMIS, Student Statistics Tables 2.09 and 2.11 for 2000–2012; Distance FTE students and FTE degree credits: DHET, HEMIS, Student Statistics Tables 2.19 and 2.21 for 2000–2012

**Notes:**

- (1) Full-time equivalent (FTE) degree credit totals for undergraduates are calculated using the same methodology as for FTE enrolment calculations, but including only students who passed examinations.
- (2) Success rates are calculated by dividing FTE degree credit totals by the corresponding FTE enrolled student total.

### Mission element 3: Research

**Table 27: Standard research inputs and outputs for all universities in South Africa: Annual averages for 2010–2012**

	Research inputs			Research outputs	
	<i>Total academics</i>	<i>% of academics with doctorates</i>	<i>Doctoral enrolments</i>	<i>Doctoral graduates</i>	<i>Research publication units</i>
<b>Cape Town</b>	1,038	63%	1,221	174	1,319
<b>Pretoria</b>	1,418	45%	1,672	198	1,309
<b>KwaZulu-Natal</b>	1,424	43%	1,362	165	1,274
<b>Stellenbosch</b>	943	54%	1,217	188	1,169
<b>Witwatersrand</b>	1,038	54%	1,271	142	1,029
<b>South Africa</b>	1,502	34%	1,153	100	809
<b>Johannesburg</b>	921	28%	622	76	753
<b>North-West</b>	<b>1,176</b>	<b>49%</b>	<b>960</b>	<b>133</b>	<b>730</b>
<b>Free State</b>	863	42%	563	100	570
<b>Nelson Mandela</b>	583	39%	446	70	382
<b>Rhodes</b>	325	54%	388	56	365
<b>Western Cape</b>	535	51%	554	72	327
<b>Tshwane</b>	849	20%	254	31	220
<b>Fort Hare</b>	299	35%	263	43	177
<b>Cape Peninsula</b>	759	14%	167	16	155
<b>Limpopo</b>	800	18%	180	15	153
<b>Venda</b>	325	32%	121	7	112
<b>Zululand</b>	274	30%	175	22	70
<b>Durban</b>	588	13%	84	11	70
<b>Vaal</b>	332	14%	21	3	65
<b>Central</b>	268	27%	75	4	49
<b>Walter Sisulu</b>	599	12%	32	3	41
<b>Mangosuthu</b>	161	8%	0	0	17

Sources: Academic staff totals and percentage with doctorates: DHET, HEMIS, Staff Statistics Tables 3.4 for 2010–2012; Doctoral enrolments and doctoral graduates: DHET, HEMIS, Student Statistics Tables 2.12 and 2.13 for 2010–2012. Research publication units: DHET: Ministerial reports on the evaluation of institutional research publication outputs.

**Table 28: Research input and output indicators for all SA universities: based on annual averages for 2010–2012**

	Research input ratios		Research output ratios	
	<i>Doctoral enrolments per permanent academic</i>	<i>% of academics with doctorates</i>	<i>Research publication units per permanent academic</i>	<i>Doctoral graduates per permanent academic</i>
<b>Cape Town</b>	1.18	63%	1.27	0.17
<b>Stellenbosch</b>	1.29	54%	1.24	0.20
<b>Rhodes</b>	1.19	54%	1.12	0.17
<b>Witwatersrand</b>	1.22	54%	0.99	0.14
<b>Pretoria</b>	1.18	45%	0.92	0.14
<b>KwaZulu-Natal</b>	0.96	43%	0.89	0.12
<b>Johannesburg</b>	0.68	28%	0.82	0.08
<b>Nelson Mandela</b>	0.77	39%	0.66	0.12
<b>Free State</b>	0.65	42%	0.66	0.12
<b>North-West</b>	<b>0.82</b>	<b>49%</b>	<b>0.62</b>	<b>0.11</b>
<b>Western Cape</b>	1.04	51%	0.61	0.13
<b>Fort Hare</b>	0.88	35%	0.59	0.14
<b>South Africa</b>	0.77	34%	0.54	0.07
<b>Venda</b>	0.37	32%	0.34	0.02
<b>Tshwane</b>	0.30	20%	0.26	0.04
<b>Zululand</b>	0.64	30%	0.25	0.08
<b>Cape Peninsula</b>	0.22	14%	0.20	0.02
<b>Vaal</b>	0.06	14%	0.20	0.01
<b>Limpopo</b>	0.22	18%	0.19	0.02
<b>Central</b>	0.28	27%	0.18	0.02
<b>Durban</b>	0.14	13%	0.12	0.02
<b>Walter Sisulu</b>	0.05	12%	0.07	0.00
<b>Mangosuthu</b>	0.00	8%	0.11	0.00

Source: Calculations based on data in Table 26 above

**Table 29: Rating input and output indicators on 4-point scale**

Rating score	% of academics with doctorates	Ratio of doctoral enrolments to total permanent academics	Ratio of research publications to total permanent academics	Ratio of doctoral graduates to total permanent academics
	<i>Target = 50%</i>	<i>Target = 1.0</i>	<i>Target = 0.80</i>	<i>Target = 0.17</i>
<b>4</b>	50% or above	1.0 or above	0.8	0.17
<b>3</b>	38%-49%	0.75–0.99	0.60–0.79	0.13–0.16
<b>2</b>	25%-37%	0.50–0.74	0.40–0.59	0.09–0.12
<b>1</b>	below 25%	below 0.50	< 0.40	< 0.09

**Notes:**

- (1) The targets set out in the table above are consolidations which the Centre for Higher Education Transformation (CHET) has made of generally accepted targets and performance measures in the South African higher education system. These targets have appeared in various government planning and policy documents, in CHET publications and reports on performance indicators, and in particular in seminars and meetings on institutional differentiation organized by CHET and other bodies.
- (2) The rating scores use a 4-point scale: this scale gives a score of 4 to indicator values that meet the targets, a score of 3 to values that are equivalent to at least 75% of the targets, a score of 2 to values that fall in the range of 50–74% of the targets, and a score of 1 to values that are less than 50% of the targets.
- (3) The basis for the targets can be explained as follows: on the input side, it has become generally accepted in South Africa that a university engaged in research production needs at least 50% of its permanent staff complement to have doctoral degrees, and needs an annual ratio of at least one doctoral enrolment per permanent academic staff member. On the output side, a generally accepted ratio in South Africa has been one research publication per permanent academic staff member per annum. CHET has modified this downwards to 0.80 to take account of the large proportions of junior academics in South Africa's academic staff totals. The ratio of 0.17 doctoral graduates per permanent academic staff member is based on the assumptions that on average each academic has one doctoral student and that the doctoral students take six years to complete their degrees.



**Table 30: Ratings for all universities in SA based on three-year averages for 2010–2012 and scores listed in Table 27**

	Input scores		Output scores	
	<i>Doctoral enrolments per permanent academic</i>	<i>% of academics with doctorates</i>	<i>Research publication units per permanent academic</i>	<i>Doctoral graduates per permanent academic</i>
<b>Cape Town</b>	4	4	4	4
<b>Stellenbosch</b>	4	4	4	4
<b>Rhodes</b>	4	3	4	4
<b>Witwatersrand</b>	4	3	4	3
<b>Pretoria</b>	4	2	4	3
<b>KwaZulu-Natal</b>	3	3	4	2
<b>Western Cape</b>	4	2	3	3
<b>Nelson Mandela</b>	3	3	3	2
<b>Free State</b>	2	4	3	2
<b>Johannesburg</b>	2	3	4	1
<b>North-West</b>	<b>3</b>	<b>2</b>	<b>3</b>	<b>2</b>
<b>Fort Hare</b>	3	2	2	3
<b>South Africa</b>	3	1	2	1
<b>Venda</b>	1	2	1	1
<b>Zululand</b>	2	1	1	1
<b>Tshwane</b>	1	1	1	1
<b>Vaal</b>	1	2	1	1
<b>Cape Peninsula</b>	1	1	1	1
<b>Limpopo</b>	1	1	1	1
<b>Central</b>	1	1	1	1
<b>Durban</b>	1	1	1	1
<b>Walter Sisulu</b>	1	1	1	1
<b>Mangosuthu</b>	1	1	1	1

Source: Calculations based on data in Table 27 and rating scores in Table 28

**Table 31: Accreditation of journal articles for all universities in South Africa: 2011 only**

	Internationally accredited journals	Journals accredited in South Africa only	Total	International as % of total
Cape Town	979	145	1,124	87%
Pretoria	905	274	1,179	77%
KwaZulu-Natal	839	313	1,152	73%
Stellenbosch	751	297	1,048	72%
Witwatersrand	750	148	898	84%
Johannesburg	423	215	638	66%
North-West	<b>414</b>	<b>239</b>	<b>653</b>	<b>63%</b>
Free State	322	190	512	63%
Rhodes	209	70	279	75%
Western Cape	195	135	330	59%
Nelson Mandela	189	94	283	67%
South Africa	183	550	733	25%
Fort Hare	143	25	168	85%
Tshwane	133	46	179	74%
Cape Peninsula	90	26	116	78%
Limpopo	81	62	143	57%
Durban	62	12	74	84%
Venda	58	56	114	51%
Zululand	42	26	68	62%
Walter Sisulu	40	3	43	93%
Vaal	30	34	64	47%
Mangosuthu	22	2	24	92%
Central	19	21	40	48%
<b>TOTALS</b>	<b>6,879</b>	<b>2,983</b>	<b>9,862</b>	<b>70%</b>

Source: DHET: Ministerial reports on the evaluation of institutional research publication outputs, 2011 edition

**Table 32: Ratios for all SA universities of internationally accredited articles per permanent academic: 2011 only**

Cape Town	0.93
Stellenbosch	0.80
Witwatersrand	0.72
Pretoria	0.71
Rhodes	0.66
KwaZulu-Natal	0.57
Johannesburg	0.49
Fort Hare	0.49
Free State	0.38
Western Cape	0.36
North-West	<b>0.35</b>
Nelson Mandela	0.33
Venda	0.18
Tshwane	0.16
Zululand	0.16
Cape Peninsula	0.12
South Africa	0.12
Mangosuthu	0.14
Limpopo	0.10
Durban	0.10
Vaal	0.09
Walter Sisulu	0.07
Central	0.07

Source: Calculations based on data in Tables 30 and 26

**Table 33: All authorities: patent applications and grants 2001–2010**

Cape Town	65
Witwatersrand	43
Stellenbosch	39
North-West	<b>24</b>
Pretoria	18
Free State	7
KwaZulu-Natal	7
Johannesburg	5

Sources: Websites of the European Patent Office, US Patent and Trademark Office, and the World Intellectual Property Organization

## Appendix 2: Programme and interviews at NWU

Date	Time	Activity	Attendees	Designation
20 Jan	08:00	<b>Panel session 1:</b> Institutional Management (Vice-Chancellor not present)	Prof D Kgwadi Prof H van Schalkwyk Prof T Mariba Prof F van Niekerk Prof J Rost Prof M Verhoef Prof M Oosthuizen Ms P Mmope Mr F du Preez	Rector: Mafikeng Campus Rector: Potchefstroom Campus Rector: Vaal Campus Deputy Vice-Chancellor: Research, Innovation and Technology Executive Director: Finance and Facilities Registrar: Institutional Office Deputy Vice-Chancellor: Teaching and Learning Executive Director: Institutional Advancement Director: Office of Vice-Chancellor
	09:30	<b>Panel session 2:</b> Department of Higher Education and Training (DHET)	Dr EL van Staden Ms J Skene Mr C Lyall-Watson	Chief Director: Academic Planning and Management Support, DHET Director: Higher Education Management Information System (HEMIS), DHET Consultant, Formerly DHET
	11:30	<b>Panel session 3:</b> Institutional Management members and directors/key staff of selected institutional support departments	Prof F van Niekerk Prof M Oosthuizen Prof M Verhoef Ms B Bouwman Ms B Smit Dr J Jacobsz Prof L Venter Dr M Moeng Prof N Allen	Deputy Vice-Chancellor: Research, Innovation and Technology Deputy Vice-Chancellor: Teaching and Learning Registrar: Institutional Office Director: Community Engagement Manager: Career Centre Director: Quality Assurance Director: Research Support Director: Academic Development and Support Director: Internationalization
	14:00	<b>Panel session 4:</b> Institutional Management (IM) members and directors/key staff of selected institutional support departments	Mr A Scheppel Mr A Juyn Ms E de Beer Ms E Jones Ms H Mogorosi Mr J Ellis Mr J Joubert Prof J Rost Mr L Jacobs Prof M Verhoef	Director: IM HC Employee Relations Chief Director: IM Information Technology Chief Director: IM Finance Director: IM Human Capital Client Services Director: IM Human Capital Development Manager: IM Student Administrative Systems Chief Director: IM Physical Infrastructure and Planning Executive Director: Finance and Facilities Director: IM Corporate Communication Institutional Registrar

Date	Time	Activity	Attendees	Designation
			Mr M Mundalamo Ms R Nel	Director: IM Human Capital Operations Director: IM HC Remuneration and Organization Design
21 Jan	08:00	<b>Panel session 5:</b> Meeting with the Potchefstroom extended campus (PC) management, including deans. Campus presentation and questions.	Prof H van Schalkwyk Prof A Lourens Prof M Lowes Prof R Letsosa Prof K Pienaar Prof A Kotze Prof F J van Rensburg Prof L J Grobler Prof M Spamer Prof N Smit Prof R Fick Prof R Balfour Prof S Visser Dr T Larney Mr T Cloete Mr B van der Westhuizen Mr J Jordaan	Rector: Potchefstroom Campus Vice-Rector: Research and Planning Vice-Rector: Teaching and Learning Vice-Rector: Teaching and Learning (Designated) Dean: Faculty of Natural Sciences Dean: Faculty of Health Sciences Dean: Faculty of Theology Dean: Faculty of Engineering Executive Director: PC Open Distance Learning Dean: Faculty of Law Dean: Student Affairs Dean: Faculty of Education Sciences Executive Dean: PC Faculty of Economic and Management Sciences PC Registrar (Acting) Director: Marketing and Communications Chief Director: PC Finance and Facilities SRC Chairperson
	14:00	<b>Panel session 7:</b> Meeting with the Vaal Triangle campus (VTC) extended management, including deans and student leaders. Campus presentation and questions.	Prof TJ Mariba Prof LA du Plessis Mr W Makgowe Prof AMC Theron Prof HJ van der Merwe Prof TC Rabali Prof PD Pretorius Dr E Botha Prof H Janse van Vuuren Prof JE Fourie Prof WCJ Grobler Prof AS Coetzee-van-Rooy Prof AJ van Rooy Prof B Surujlal Prof S Rothmann Ms ME Steyn Mr CW Vermeulen Mr JN Simango Dr SE Dreyer Mr J Ncedani Mr HD Steyn Mr FJ Basson Dr E Strydom Prof MM Verhoef Mr A Juyn Ms A Oosthuizen	Rector: Vaal Campus VTC Vice-Rector: Academic, Quality and Planning VTC Director: Marketing & Communication VTC Dean: Faculty of Humanities VTC Dean: Faculty of Economic Sciences and Information Technology VTC School Director: Basic Sciences VTC School Director: Information Technology VTC School Director: Behavioural Sciences VTC School Director: Accounting Sciences VTC School Director: Education Sciences VTC School Director: Economic Sciences VTC Acting Director: Understanding and Processing Language VTC Acting School Director: Language VTC Director: Research VTC Director: Optentia VTC Campus Registrar VTC Director: Academic Administration VTC Director: Student Affairs VTC Manager: Student Development CSRC President VTC Director: Finance and Facilities VTC Acting Director: Operational Management VTC Director: Academic Development Services IM Institutional Registrar IM Chief Director: Information Technology VTC Manager: Information Technology

Date	Time	Activity	Attendees	Designation
			Ms H Pretorius Ms G Erasmus	VTC Manager: Library VTC: Secretariat
		<b>Panel session 8:</b> Vaal Triangle academics	Mr Werner Ravse Ms Busi Khaba Dr Tumi Mzini Mr Habofanwe Koloba Mr Piet Ntema	School of Information Technology School of Basic Sciences School of Basic Sciences School of Economic Sciences School of Information Technology
22 Jan	10:30	<b>Panel session 9:</b> Meeting with the Mafikeng campus (MC) extended management, including deans and student leaders. Campus presentation and questions.	Prof D Kgwadi Prof A Oduaran Prof B van Lill Mrs C Pietersen Prof D Gericke Prof E Ebenso Mr E Mostert Dr E Manyedi Prof I Kalule-Sabiti Mr K Degenaar Mr L Mpolokeng Ms M Tshenye Dr M Setlalentoa Prof M Maselesele Prof M Kaulela Prof M Mboa Dr N Mouton Prof P Botha Mr R van Rooyen Mr R Kettles Prof S Mashego Prof S Swanepoel Ms S Oosthuizen Mr M Moyo	MC Campus Rector MC School Director: Teacher Education and Training MC School Director: Management Sciences MC Director: Information Technology MC Dean: Faculty of Education MC Dean: Faculty of Agricultural Science and Technology MC Director: Finance MC Senior Lecturer: Nursing Sciences MC Demography, Population and Development Studies MC Director – Marketing and Communication MC Executive Manager: Office of the Rector MC Manager: Library MC School Director: Social Sciences MC Vice-Rector: Academic and Research MC Acting Director: Science of Technology MC Executive Dean: Faculty of Law MC Manager: Admissions MC Dean: Faculty of Human and Social Sciences MC Manager: Campus Sport MC Campus Registrar MC Vice-Rector: Quality and Planning MC Executive Dean: Faculty of Commence and Administration MC Manager: Human Resources MC Director: Library
		<b>Panel session 10:</b> Mafikeng campus (MC) academics	Dr Ateba Prof M Khaliq Prof C Zulu Mr W Nkhumise Mr K Motatsa M. Chavones-Vrugt	MC Senior Lecturer: Biological Sciences MC Professor Mathematical Sciences MC Professor School of Education and Training MC Lecturer: Law School of Undergraduate Studies MC Junior Lecturer: Economics MC Senior Lecturer Social Work
23 Jan	08:30	<b>Panel session 11:</b> Executive Committee of Council	Mr Peet van der Walt Ms Itumeleng Poee Mr Jan Kitshoff Ms Marthie Claassens	Council Chairperson – Former CEO of FNB, business consultant and small business owner Chairperson of Transformation and Oversight Committee, Communications and Tourism consultant in the Western Cape Chairperson of the Finance Committee and CEO of Afrilearn Chairperson of the Audit, Compliance and Risk Committee and CEO of Protect-a-Partner International (quality reviews of audits and consultancy)

Date	Time	Activity	Attendees	Designation
			Dr Douw Breed Dr Theuns Eloff Prof H van Schalkwyk Prof M Verhoef	Chairperson of the Human Capital and Employment Equity Committee Reverend of the Reformed Church and Extraordinary Professor at the Potchefstroom Campus Faculty of Theology Vice-Chancellor Vice-Principal and Potchefstroom Campus Rector Institutional Registrar
	09:30	<b>Panel session 12:</b> Convocation executive committee/donors/business partners	Adv JSM Henning, SC Mr TFF Tikane Dr DJ Hemann Prof MW Stander Adv TJ Kruger Me HK Coetzee Prof M Verhoef Mr J Janse van Rensburg Me Yolandi Yssel Me Susan Van Rooyen Me Alwine Naude	President of the NWU Convocation, Former Deputy National Director of Public Prosecutions Department of Social Development, Provincial Office: Communication Chief Executive: Solidarity Industrial Psychology, School of Behavioural Sciences Faculty of Humanities, Vaal Triangle Campus (EXCO Member and Member of Council) Panel of Experts for the Centre for Constitutional Rights of the FW de Klerk Foundation (Former Acting Judge and Member of the Pretoria Bar) Clinical Psychologist and Lecturer Potchefstroom Campus Institutional Registrar CEO ALS Alumni Office Potchefstroom Campus Alumni Office Mafikeng Campus Alumni Office Vaal Triangle Campus
	11:15	<b>Panel session 13:</b> Potchefstroom campus (PC) academics	Prof A Schutte Prof B Harvey Prof J Pienaar Prof J Van den Berg Prof M Maboeta Prof W Krugell Prof W Liebenberg	PC Faculty of Health Sciences PC Translational Neuroscience and Neurotherapeutics PC Workwell: Research Unit for People, Policy PC Zoology PC Zoology PC School of Economics PC Drug Delivery
	14:00	<b>Panel session 14:</b> Regional political and community leaders	Dr Magone Masiki Dr Sammy Takiso Brig Genl Gerhard Kamffer Dr Bejane Chauke Mr Sam Louw Ms Lou Khumalo	MEC Health – North-West Province Psychologist – Private practice Potchefstroom Commander SANDF Special Adviser to the Premier Community Service Social Worker North-West Province

## Appendix 3: Media statement on initiation at NWU by Department of Higher Education and Training

25 February 2014

‘Everyone has inherent dignity and the right to have their dignity respected and protected’

The Constitution of the Republic of South Africa

The Department of Higher Education and Training has noted with concern the report on orientation activities at the North-West University (NWU) in the *Beeld* of Friday, 21 February 2014. The photographs accompanying the article show first year students at NWU dressed in uniforms, marching in unison like troopers and, most disturbingly doing the ‘Heil Puk!’ Nazi-style fascist salute. The university management has indicated that these pictures are snippets out of a longer video ‘singing a greeting to their primaria’ which was taken out of context and what appears to be a Nazi-style salute is not that at all. While they have apologised for any offence the pictures may have caused, they have indicated that this is part of a tradition that first year students engage in and do not see this as an initiation practice. However in the Departments’ view, such practices are not at all innocent and can only be characterised as unacceptable practices where the use of gestures associated with Nazism are shunned upon throughout the world and are relics of a time which symbolised oppression, persecution and some of the worst atrocities committed in human history.

As the Department of Higher Education and Training, it is our aim to develop responsible citizens and future leaders who are just, free thinking and committed to building a society free of intolerance and injustice, and these gestures are not synonymous with those values or the values of our country.



It is not the first time that such practices are surfacing at the Potchefstroom campus of NWU. Following recurring disruptions at the NWU Mafikeng campus, the former Minister of Education, Ms Naledi Pandor, appointed a Task Team in 2008 to evaluate the extent to which the university had achieved the intended objectives of the merger and processes it followed to achieve those objectives. In its investigation, the Task Team was informed that cultural practices in the residences were racially biased and the orientation of first year students included some unacceptable and archaic practices, tacitly condoned by management. At that time, the university's management rejected the findings of the Task Team and reported that such practices are being dealt with through the university disciplinary processes.

Following the infamous racist incident that took place at the Reitz Hostel, of the University of the Free State in 2008, the Minister of Education commissioned a national study on the 'Transformation and Social Cohesion and the Elimination of Discrimination in Public Higher Education Institutions'. The Commission reported that:

*A common feature of residences in the Afrikaans-medium institutions [which includes the Potchefstroom campus of the NWU, according to the report] is the presence of strong hierarchical structures. Senior students have considerable authority and power over first-year students .... The power of senior students is expressed most clearly in the initiation ceremonies that have been a feature of residence life in many institutions. At the start of the academic year, first-year students have to perform various activities, often of a demeaning character, determined by senior students. These include having to service the demands of senior students, such as running errands, washing their dishes, etc. In this regard it should be noted that the Reitz incident involving black workers was based on an initiation ceremony prescribed for second-year students seeking admission to Reitz (p.81).*

In this regard, the Commission recommended that:

*All initiation ceremonies and activities should be banned, irrespective of whether the activity causes bodily hurt or not. A toll-free (and anonymous) complaints line should be established to allow students to register infringements of this policy. The punishment for contravening such policy should be expulsion from the institution (p.88).*

In April 2010 the Minister of Higher Education and Training requested the university to furnish him with a progress report in relation to the implementation of the recommendations of the Task Team. In his response to the Minister, the Chairperson of Council, Mr P J Van der Walt, wrote that:

*NWU has established a Human Rights Committee that investigates allegations of harassment, racism, xenophobia and many other social ills that we experience in the wider society. This committee is chaired by an independent external Senior Counsel, and Council is satisfied that significant progress is evident in our interactions across the institution.*

In spite of the university's continuous denials that acts of degradation of human dignity were taking place at its premises, anecdotal reports on such practices have persisted. Similar allegations have resurfaced following the death of Mr Thabang Mokhoang in early 2012, during the first year student's orientation.

On 21 January 2012, at an orientation event for first year students at NWU, Potchefstroom Campus, Mr Thabang Makhoang tragically drowned in what was reported to be a team-building exercise called a 'Fruit Festival'. At the time the university management justified this as a 'cultural event' during which students 'playfully rubbed each other with watermelon peels' and thereafter hosed each other down before taking a swim. Shortly after this incident, the Department requested the institution's Rector, Dr Theuns Eloff, to investigate the matter and provide it with a comprehensive report.

The unsatisfactory outcomes of the NWU investigation into the drowning of Mr Makhoang became the basis for a request from the Department to the South African Human Rights Commission (SAHRC), to undertake an investigation. The terms of reference for the investigation by SAHRC included an assessment of whether initiation activities are being practiced at the NWU Potchefstroom campus, in particular during the orientation period. However, we are concerned about the slow progress on this matter by SAHRC.

In December 2012, Aldred Genade, a senior academic at NWU, wrote:

*At the NWU, inaction on racial (and other forms of) diversity constitutes a key obstacle to transformation. While it is difficult to prove culpability, this indolence simply perpetuates the historic status quo that brought us to the place where non-whites eighteen years after liberation feel alienated and whites still dominate decision making. I ask whether the NWU is really serious about diversity or is diversity just a shuttlecock kept airborne to satisfy the occasional and cursory glances from our government, educational authorities, donors, prospective students, their families and the community.*

Following the resurfacing of serious allegations of interfering with witnesses in the university's investigation into the 2012 drowning, on 28 May 2013 the Minister of Higher Education and Training wrote to the Minister of Police, Mr Nathi Mthethwa, MP, requesting him to institute a thorough

investigation through the South African Police Services Directorate for the Priority Crime Investigation known as HAWKS [sic], into the circumstances of the death of Mr Makhoang.

The Minister of Higher Education and Training is awaiting the finalisation of the Hawks report.

In February 2013, NWU controversially dismissed its Executive Advisor: Transformation and Diversity Management, Dr Ingrid Tufvesson, after allegations that she had questioned the transformation policy of the university. Dr Tufvesson had been appointed to the position in 2011.

The Department has also recently received reports that there is a culture of intimidation, harassment, fear and purging at the university in that any staff member who takes a stance on such practices is being victimised. The Department calls on the university to ensure that no such victimisation takes place, and requests that they do not go on any 'witch hunts'. The footage speaks for itself and the university must answer to the call for transformation and deal with these issues head-on. It is bringing the whole of higher education into disrepute by continuing to defend and condone such practices.

With the latest reported incidents of first year students' initiation (*die ontgroening*) it is clear that the university misled the Minister in 2010 when reporting progress on transformation in their response to the Task Team on Transformation's report. Had the incident shown in the *Beeld* been committed clandestinely by a few students, the university could be forgiven and as such could have been considered as an isolated incident, or aberration. In the recent reports, however the activities were carried out in mass and even streamed through YouTube for the world to see. As such this incident is manifestly part of a common practice that has continued and is accepted by both the university management and Council as part of the culture of the Potchefstroom Campus of NWU.

Following the front page photos and article in the *Beeld* of Friday, 21 February 2014, showing the Nazi salute incident and activities linked to what in our view can only be called initiation practices at NWU, Potchefstroom Campus, the Department has requested the university to provide a full report on this incident. Yesterday, the university submitted a report to the Minister of Higher Education and Training which he is studying and considering, and should the need arise, further action will be taken by the Department. I need to emphasise that the university must not seek to explain itself out of these incidents but act in addressing these issues.

The Department of Higher Education and Training does not and will not tolerate any unconstitutional activities that are perpetrated at higher education institutions. Moreover, the Department does not condone any complacency by managers and governance at the institutions on such acts.

It is shocking that the university management defends what can only be called initiation rituals taking place at certain student residences during the orientation of new students at the Potchefstroom campus.

It is important to note that such traditions, while they may seem harmless 'cultural' and 'team building' events on the surface to some, contribute to a culture of exclusion and perpetuate stereotypes about race, gender and sexuality, and lead our youth to be indoctrinated into beliefs that are not in the spirit of our democracy and result in students leaving university not equipped to be part of our collective future.

The use of the Nazi 'Sieg Heil' salute shown in the media and on the video is spoken of as innocent student fun by some senior staff at the institution. This is unacceptable and needs a concerted effort and education programme to change such practices.

The university by allowing such practices to be perpetuated in their residences is harming not only the institution's image and standing, but also higher education in general. However, the greater threat is that as a result of these 'traditions' so treasured by some in the university that they will not act decisively to eradicate them, young people are damaged and indoctrinated into beliefs that will ill-equip them to make a positive contribution to our country.

Universities should be places where we teach our students to think critically, and not to be cowed conformists. If they leave our institutions ignorant, bigoted and uninformed about basic human rights, we have failed them. If they go into the world thinking it is perfectly acceptable to perform the Nazi salute while shouting 'Heil PUK!' we have failed them.

Media Enquiries:

Ms Kefilwe Manana Makhanya

Chief Director: Communication

Makhanya.k@dhet.gov.za

072 285 8662

## Appendix 4: Press release by NWU on team to conduct an investigation of introduction of first-year students

### **NWU Council announces steps to be implemented at the university**

*6 March 2014*

Institutional Office – During an extraordinary meeting of the NWU Council on Wednesday 5 March 2014, an action plan to address the recent reports on the alleged Nazi-style saluting by first-year students as well as alleged infringements of human rights flowing from so-called initiation practices, was agreed upon.

Council once again reiterated its stance that it will not tolerate any infringements of human rights, and regrets the fact that even though policies and procedures are in place at the university, it became evident that offensive practises did occur and there were indeed violations of human rights. Therefore Council unconditionally apologises and trusts that the measures which will be put in place, will prevent a reoccurrence of such incidents.

Council took note of and commended Prof Herman van Schalkwyk, rector of the Potchefstroom Campus and vice-principal as well as the Potchefstroom Campus Management, on the strategies already implemented on the campus to address the situation, especially of the fact that the internal investigation into irregularities that allegedly occurred in three residences was completed. The disciplinary process will now continue. It was however resolved that further actions are needed to protect the reputation of the university as a whole, and to take this process further.

It should also be pointed out that Prof van Schalkwyk had a constructive meeting with the chairperson of the South African Jewish Board of Deputies (SAJBD) on Tuesday 4 March, and future collaboration has been agreed upon.

Council took note of the request by the Minister of Higher Education and Training, Dr Blade Nzimande, to the chairperson of the NWU Council, Mr Peet van der Walt, on 4 March 2014. The Minister requested Council to ensure that initiation practices are ceased with immediate effect. Council must also institute a thorough investigation into cultural, induction, orientation, initiation and demeaning practices, including acts of fascism and nazism, that seem to exist at the university under the tacit approval by the university management. The Minister requested feedback within three months.

To give effect to the Minister's first request, Council instructed the vice-chancellor as the accountable manager to see to it that all initiation practices, as well as any practice that may be construed as demeaning or an infringement of human rights, cease with immediate effect.

Secondly Council resolved to appoint a four-person independent team to investigate the welcoming and introduction of first-year students on all three campuses of the North-West University and to make recommendations in this regard. The names of these prominent persons within the South African society will be made known, once the individuals have been consulted with regard to their availability.

The four-person investigation team should, in line with the Minister's request, perform the following:

1. Institute a thorough investigation into cultural/induction/orientation/initiation and other demeaning practices, 'including acts of fascism and nazism that seem to exist at the institution'.
2. Determine whether these practices 'exist under the tacit approval by the university management'.
3. Determine the level of malpractices (initiation or 'ontgroening') against first-year students and determine the effectiveness of mechanisms to prevent these from occurring.
4. Evaluate the respective welcoming and introduction programmes at all the campuses and do a benchmarking exercise to determine best practice nationally and internationally in this regard, with recommendations on possible restructuring or abolishment.
5. Determine the level of understanding of fundamental human rights in the student community.
6. Determine the understanding and importance of traditions in the student community and evaluate the content of the present traditions and the sustainability thereof.

7. Evaluate the institutional and residential culture to determine whether it is open and welcoming.
8. Consider the findings of the internal campus investigation of a committee appointed by the Potchefstroom Campus on the matter.
9. Determine, as posed in the minister's letter, whether there is a 'culture of intimidation, harassment, fear and purging' at the university against staff and students who try to take a stance against such practises.

Given the time frame set by the Minister, the committee must report back to Council (or the Executive Committee of Council) by 22 May 2014.

The North-West University has committed to take action on the findings and recommendations of the report, by adopting a zero tolerance for any infringements of human rights or any form of initiation during the welcoming and introduction programmes and the rest of the academic year. It has also committed to strive for an inclusive, healthy and welcoming culture on all three campuses that would lead to an active and vibrant student life.

It is imperative that these processes are dealt with wisely and decisively by Council and management. It is also important that the envisaged process gathers momentum and is driven by the future leadership of the NWU.

Against this background, Council accepted the offer of the present vice-chancellor, Dr Theuns Eloff, to step down on 31 March 2014 to enable Prof Dan Kgwadi to assume his duties on 1 April 2014 (instead of 1 June). This will enable Dr Eloff to complete a number of tasks during March, while allowing Prof Kgwadi to take full responsibility and ownership as vice-chancellor for the processes described above as well as other strategic matters, such as the process to review the vision and mission of the NWU as already agreed upon during 2013.

During the coming two months, Dr Eloff will still facilitate the handover to Prof Kgwadi in respect of certain external stakeholders, such as donors, business leaders and alumni. The farewell functions for Dr Eloff on the various campuses and the Institutional Office, as well as the overall farewell function scheduled for 30 May 2014, will go ahead as arranged.

'The mammoth role which the outgoing vice-chancellor has played in making this merger a success, will surely go down in history books as one of the most applaudable interventions by a single individual,' said Mr Peet van Walt. He added that 10 years ago a group of courageous people took a giant leap of faith when they established the NWU. Leading this group was Dr Theuns Eloff – the right man at the right time and place. During the past decade he inspired not only the internal audiences of

the NWU, but also instilled confidence in the hearts of our external stakeholders such as alumni, business partners and peers.

Issued by Louis Jacobs on behalf of the North-West University Council.

Enquiries:	Mr Peet van der Walt	: 082 465 2381
	Dr Theuns Eloff	: 082 806 4956
	Prof Dan Kgwadi	: 082 929 6081
	Prof Herman van Schalkwyk	: 082 940 7830
	Mr Louis Jacobs	: 082 901 6435



## Appendix 5: Panel team members

### **PANEL**

#### **Frans van Vught (Chair)**

Frans van Vught (b. 1950) is a high-level expert and advisor at the European Commission (EC). Furthermore he is president of the European Centre for Strategic Management of Universities (Esmu), president of the Netherlands House for Education and Research (Nether), and member of the board of the European Institute of Technology Foundation (EITF), all in Brussels. He was president and Rector of the University of Twente, the Netherlands (1997–2005). In this country he was a member of the national Innovation Platform, of the Socio-Economic Council and of the Education Council. He currently chairs a national committee for the review of the higher education institution profiles in the Netherlands. Professor van Vught has been a higher education researcher for most of his life and published widely in this field. His many international functions include the chairmanship of the Council of the LH Martin Institute for higher education leadership and management in Australia, and the memberships of the University Grants Committee of Hong Kong (1993–2006), of the board of the European University Association (EUA) (2005–2009), and of the German 'Akkreditierungsrat' (2005–2009). He is a sought-after international speaker and is an advisor to many international organizations, national governments and higher education institutions. He is honorary professor at the University of Twente and holds several international honorary doctorates and fellowships.

#### **Nico Cloete**

Nico Cloete has been the full-time director of the Centre for Higher Education Trust (CHET) since 1997. He is also Extraordinary Professor of Higher Education, University of Western Cape; Visiting Professor, Masters Programme in Higher Education, University of Oslo, and Honorary Research Fellow, University of Cape Town. He was actively involved in academic staff organisation and was President of the University of Witwatersrand Staff Association (1991–1992) and General Secretary of the Union of Democratic University Staff Associations of South Africa (1993–1994). He was the research director

for the National Commission on Higher Education (1995–1996), appointed by Nelson Mandela, and served on the South African Ministerial Advisory Council for Universities and Technikons. Dr Cloete initiated the Higher Education Research and Advocacy Network in Africa (HERANA) in 2009 and is the coordinator of this network. In 2010 he gave the opening keynote at the congress of the European Consortium of Higher Education Researchers in Oslo. He has published widely in psychology, sociology and higher education policy. His latest books are *Higher Education and Economic Development in Africa* (2011) and *Shaping the Future of South Africa's Youth: Rethinking Post School Education and Skills Training* (2012).

### **Lynn Meek**

V. Lynn Meek is Foundation Director and now Professorial Fellow at the LH Martin Institute of Higher Education Leadership and Management at the University of Melbourne. Having completed a PhD in the sociology of higher education at the University of Cambridge, he has more than three decades' experience researching higher education policy issues. Specific research interests include governance and management, research management, diversification of higher education institutions and systems, institutional amalgamations, organisational change, and comparative study of higher education systems. He has attracted numerous competitive research grants, is regularly invited to address international conferences, and is frequently invited to be a guest editor of international journals with respect to special issues on particular aspects of higher education policy. Professor Meek has published over 30 books and monographs and numerous, book chapters and scholarly articles. He is on the editorial board of several international journals and book series, and has worked with such international agencies as UNESCO and OECD. Professor Meek is Editor-in-Chief of the journal *Studies in Higher Education*.

### **Barney Pityana**

Nyameko Barney Pityana is the Rector of the College of the Transfiguration, Grahamstown. He was previously Principal and Vice-Chancellor of the distance learning institution, the University of South Africa (Unisa), one of the world's mega-universities (2001–2010). He also served as chairperson of the inaugural South African Human Rights Commission (1995–2001), one of the independent constitutional bodies established to defend and promote human rights. Professor Pityana is a human rights lawyer who qualified in South Africa, and a theologian trained in England. He obtained a PhD in Religious Studies from the University of Cape Town. He is Emeritus Professor in Law at the University of South Africa and an honorary visiting professor at the Allan Gray Centre for Leadership Ethics at Rhodes University. He is a member of the Council of the Academy of Science of South Africa (ASSAf), and serves on the Council of the University of the Witwatersrand, Johannesburg. His academic and

research interests are in international human rights law, theology and ethics, as well as in higher education leadership and management

### **Torben Rasmussen**

Torben Kornbech Rasmussen (b. 1942), a Danish citizen, is now an independent educational consultant and advisor, in particular to ministries, government agencies, the OECD and other international organisations and higher education institutions. After lecturing at Copenhagen University and what is now University College Copenhagen in the 1970s and early 1980s, he joined the Ministry of Education, where he had different portfolios (teacher education, planning and quality development in Higher Education, international relations), before becoming Director General of the Department of Higher Education (1993–2001) with responsibility for the policy development of all aspects of Higher Education (institutional framework, funding principles of education and research, performance contracts, admission criteria, quality development, doctoral studies, employment rules and principles, international cooperation, etc.). He was Director General of the International Department (2001–2008, 2011–2013) with special responsibility for the Danish EU-presidencies in 2002 and 2012 (chairing the EU Education Committee) and for cooperation with governmental organisations like OECD and for the Bologna Process. He was again Director General of the Department of Higher Education (university colleges and academies) and International Cooperation from 2008 to 2011. Over the years Dr Rasmussen has acted as deputy for education ministers at several ministerial meetings and conferences under EU, OECD and UNESCO. He has been a member of a large number of international and national committees and review boards, among them the Erasmus and Socrates committees and the European Training Foundation under EU, the Governing Board of the Centre for Educational Research and Innovation, the Education Policy Committee and review boards under the OECD, the Education Policy Committee (chair, 2005–2009), the Bologna Follow-up Group (1999–2011), the Higher Education Committee under the Nordic Council of Ministers, the University Grants Committee of Hong Kong (2002–2006), le Cercle Erasmus, France (2012–), the Danish Fulbright Commission (1998–2013), the Danish–Norwegian Foundation (1995–2007) and the Danish Sonning Foundation (2012).

### **Mala Singh**

Mala Singh is Professor Extraordinaire in the Centre for Higher Education Research, Teaching and Learning at Rhodes University, South Africa. She was formerly Professor of International Higher Education Policy in the Centre for Higher Education Research and Information at the Open University in the United Kingdom. She was the founding Executive Director of the Higher Education Quality Committee (HEQC) of the Council on Higher Education in South Africa. She has a doctorate in

Philosophy and was professor and head of the Department of Philosophy at the former University of Durban-Westville in South Africa. She has published in the fields of philosophy, higher education and quality assurance. She is a member of the Academy of Science of South Africa and serves on the board of the National Research Foundation. She is on the editorial boards of *Higher Education Policy* and the *Journal of Higher Education in Africa*. In 2009 she was a Fulbright Scholar at the New School for Social Research in New York and a senior fellow at the Steinhardt Institute for Higher Education Policy at New York University. She has also been a member of the International Advisory Board of the University of Helsinki. She is currently a member of the Council of the United Nations University in Tokyo, the European Quality Register Committee, and the Hong Kong Council for the Accreditation of Academic and Vocational Qualifications.

## **SECRETARIAT**

### **Ian Bunting**

Ian Bunting is Emeritus Professor of Philosophy of the University of Cape Town. He served as Professor of Philosophy and full-time Dean of the Faculty of Social Science and Humanities for 11 years before being seconded to the national Department of Education in 1999. After retiring from the University of Cape Town at the end of 2004, he was appointed to full-time posts of Director and then Chief Director in the Department of Education during the period 2005–2010. His responsibilities in the Department of Education involved primarily the National Higher Education Management Information System (HEMIS), enrolment planning for the university system, higher education funding policies, and the allocation of government subsidies and earmarked funds to universities. He has worked with the Centre for Higher Education Transformation (CHET) since the late 1990s on various research projects. These have mainly involved the development of performance indicators for South African universities, and cross-national performance indicators for universities across numbers of African countries.